



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460  
OMB CIRCULAR A-87 COGNIZANT AGENCY  
NEGOTIATION AGREEMENT

Page 1 of 2

New York State Department of  
Environmental Conservation  
Albany, New York

Date: January 4, 2012

Filing Ref: February 2, 2011

The indirect cost rates contained herein are for use on grants and contracts with the Federal Government to which Office of Management and Budget Circular A-87 applies, subject to the limitations contained in the Circular and in Section II, A below.

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SECTION I: RATES

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| Type                          | Effective Period |           | Rate   | Base |
|-------------------------------|------------------|-----------|--------|------|
|                               | From             | To        |        |      |
| Fixed:                        |                  |           |        |      |
| SRF (Staff Reassigned to EFC) | 4/1/2012         | 3/31/2013 | 8.79%  | (a)  |
| All Other DEC Programs        | 4/1/2012         | 3/31/2013 | 28.22% | (a)  |

Basis for Application

(a) Direct salaries and wages plus applicable fringe benefits costs.

Treatment of Fringe Benefits: Fringe benefits applicable to direct salaries and wages are treated as direct costs.

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SECTION II: GENERAL

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A. LIMITATIONS: The rates in this Agreement are subject to any statutory and administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the department/agency or allocated to the department/agency by an approved cost allocation plan were included in the indirect cost pool as finally accepted; such costs are legal obligations of the department/agency and are allowable under governing cost principles; (2) The same costs that have been treated as indirect costs have not been claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the department/agency which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. CHANGES. The fixed rate contained in this agreement is based on the organizational structure and the accounting system in effect at the time the proposal was submitted. Changes in the organizational structure or changes in the method of accounting for costs which affect the amount of reimbursement resulting from use of the rate in this agreement, require the prior approval of the authorized representative of the responsible negotiation agency. Failure to obtain such approval may result in subsequent audit disallowances.

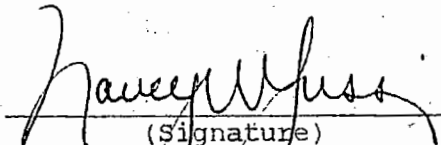
C. THE FIXED RATE contained in this agreement is based on an estimate of the cost which will be incurred during the period for which the rate applies. When the actual costs for such a period have been determined, an adjustment will be made in the negotiation following such determination to compensate for the difference between the cost used to establish the fixed rate and that which would have been used were the actual costs known at the time.

D. NOTIFICATION TO FEDERAL AGENCIES: Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

E. SPECIAL REMARKS: None

ACCEPTANCE

By the State Agency:

  
(Signature)

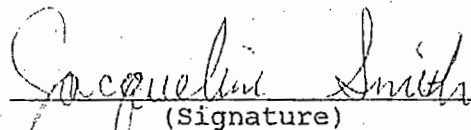
Nancy W. Lussier  
(Name)

Dir., Mgmt + Budget Svcs  
(Title)

NYS DEC  
(Agency)

JAN 11 2012  
(Date)

By the Federal Agency:

  
(Signature)

Jacqueline Smith, Rate Negotiator  
Financial Analysis and  
Oversight Service Center  
U.S. Environmental  
Protection Agency

January 4, 2012

Negotiated by: Jacqueline Smith  
Telephone: (202) 564-5055



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

WASHINGTON, D.C. 20460

OMB CIRCULAR A-87 COGNIZANT AGENCY

NEGOTIATION AGREEMENT

Page 1 of 2

New York State Environmental  
Facilities Corporation  
Albany, New York

Date: July 23, 2012  
Filing Ref: February 7, 2011

The indirect cost rates contained herein are for use on grants and contracts with the Federal Government to which Office of Management and Budget Circular A-87 applies, subject to the limitations contained in the Circular and in Section II, A below.

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SECTION I: RATES

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Fixed:

|                     |          |           |        |     |
|---------------------|----------|-----------|--------|-----|
| Indirect Cost Rate  | 4/1/2011 | 3/31/2013 | 27.53% | (a) |
| Fringe Benefit Rate | 4/1/2011 | 3/31/2013 | 44.72% | (b) |

Basis for Application

- (a) Direct salaries and wages plus applicable fringe benefits costs.
- (b) Direct salaries and wages

Treatment of Fringe Benefits: Fringe benefits applicable to direct salaries and wages are included in the fringe benefit rate cited above.

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SECTION II: GENERAL

---

A. LIMITATIONS: The rates in this Agreement are subject to any statutory and administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the department/agency or allocated to the department/agency by an approved cost allocation plan were included in the indirect cost pool as finally accepted; such costs are legal obligations of the department/agency and are allowable under governing cost principles; (2) The same costs that have been treated as indirect costs have not been claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the department/agency which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

WASHINGTON, D.C. 20460

July 23, 2012

Michael D. Malinoski  
New York State  
Environmental Facilities Corporation  
625 Broadway  
Albany, New York 12207-2997

OFFICE OF  
ADMINISTRATION  
AND RESOURCES  
MANAGEMENT

Dear Mr. Malinoski :

Enclosed is a negotiation agreement reflecting an understanding reached with you regarding the indirect cost rates to be used on grants and contracts with the Federal Government.

I have already signed the agreement. Please have the agreement countersigned by a duly authorized representative of your organization. Photocopy the agreement for your files and return the original to me. Since I work in a secure location, I am unable to receive Overnight packages (FedEx, DSL or UPS). Therefore, if you mail the Agreement back to me Overnight mail, please use the Overnight address listed below. If you have questions, please contact me on (202) 564-5055. Please give this matter your immediate attention.

Return the countersigned original agreement as follows:

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**Regular Mail**  
(UPS, but Not Overnight)

Jackie Smith, Rate Negotiator (3802R)  
Financial Analysis and Oversight Service Center  
U.S. Environmental Protection Agency  
**1200 Pennsylvania Avenue, N.W.**  
Washington, D.C. 20460-0001

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**Overnight Mail**  
(FedEx, DSL, UPS Overnight)

Jackie Smith, Rate Negotiator (3802R)  
Financial Analysis and Oversight Service Center  
U.S. Environmental Protection Agency  
Ronald Reagan Building, 6th Floor  
Bid & Proposal Room #61107  
**1300 Pennsylvania Ave**  
Washington, D.C. 20004

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Sincerely yours,

Jackie Smith, Rate Negotiator  
Financial Analysis and  
Oversight Service Center

Enclosure

New York State Environmental  
Facilities Corporation  
Albany, New York

Page 2 of 2

B. CHANGES. The fixed rate contained in this agreement is based on the organizational structure and the accounting system in effect at the time the proposal was submitted. Changes in the organizational structure or changes in the method of accounting for costs which affect the amount of reimbursement resulting from use of the rate in this agreement, require the prior approval of the authorized representative of the responsible negotiation agency. Failure to obtain such approval may result in subsequent audit disallowances.

C. THE FIXED RATE contained in this agreement is based on an estimate of the cost which will be incurred during the period for which the rate applies. When the actual costs for such a period have been determined, an adjustment will be made in the negotiation following such determination to compensate for the difference between the cost used to establish the fixed rate and that which would have been used were the actual costs known at the time.

D. NOTIFICATION TO FEDERAL AGENCIES: Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

E. SPECIAL REMARKS: None

ACCEPTANCE

By the State Agency:

By the Federal Agency:

Michael D. Malinowski  
(Signature)

Michael D. Malinowski  
(Name)  
Controller and Director  
of Corporate Operations  
(Title)

NYS Environmental Facilities  
(Agency) Corp

8/1/12  
(Date)

Jacqueline Smith  
(Signature)

Jacqueline Smith, Rate Negotiator  
Financial Analysis and  
Oversight Service Center  
U.S. Environmental  
Protection Agency

July 23, 2012

Negotiated by: Jacqueline Smith  
Telephone: (202) 564-5055

STATE OF NEW YORK  
OFFICE OF THE ATTORNEY GENERALERIC T. SCHNEIDERMAN  
ATTORNEY GENERALBARBARA D. UNDERWOOD  
SOLICITOR GENERAL

December 14, 2012

Joseph Martens  
Commissioner  
New York State Department of  
Environmental Conservation  
625 Broadway  
Albany, New York 12233-1010RE: State Revolving Fund Program  
Attorney General's Certification

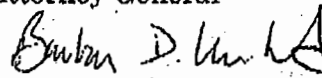
Dear Commissioner Martens:

Reference is hereby made to the Attorney General's certification made with respect to the State Revolving Fund Program and contained in our letter of February 26, 1990 to your predecessor, Commissioner Jorling. Such letter is incorporated herein in full by this reference. As of the date hereof, and after review of such matters as members of my staff have deemed relevant, including amendments to the State's implementing legislation and the hereinafter referenced Attachment 8, the Attorney General recertifies the matters certified in paragraphs (1), (2) and (3) of the February 26, 1990 letter. With respect to the certification contained in paragraph (3) thereof, reference is also made to the letter dated September 25, 2012 from the General Counsel of the Department of Environmental Conservation (the "Department") and to Attachment 8, as amended to the date hereof, to the Operating Agreement for Implementing and Managing the New York State Water Pollution Control Revolving Fund, between the Department and EPA.

Very truly yours,

ERIC T. SCHNEIDERMAN  
Attorney General

By:

  
BARBARA D. UNDERWOOD  
Solicitor General

**New York State Department of Environmental Conservation**

**Division of Management & Budget Services, 10<sup>th</sup> Floor**

625 Broadway, Albany, New York 12233-5010

Phone: (518) 402-9228 • Fax: (518) 402-9023

Website: [www.dec.ny.gov](http://www.dec.ny.gov)



Joe Martens  
Commissioner

Ms. Judith Enck  
Regional Administrator  
U.S. Environmental Protection Agency  
Region II Office  
290 Broadway  
New York, New York 10007-1866

SEP 11 2012

Attention: Mr. Roch Baamonde, Chief  
Grants & Contracts Management Branch

Re: New York Clean Water State Revolving Fund  
Capitalization Grant for 2012  
Construction Grants Funds

Dear Ms. Enck:

Enclosed for your review and approval are revised pages to the FFY 2012 application for the Capitalization Grant for New York's Clean Water State Revolving Fund (CWSRF) Program. The pages, Form SF-424A, have been revised to request \$1,204,222 in deobligated Construction Grants Program funds.

These funds will be used to provide low interest financings to eligible recipients for water quality protection projects.

The State and USEPA are partners in assisting New York's communities and not-for-profit organizations in preventing or abating water pollution problems. The continued cooperation that has been evidenced in the past will help assure the continued success of our mutual efforts.

We appreciate your efforts to review and award this grant application in a timely manner. If you have any questions about this application, call Bill Brizzell or David Bradley of the NYS Environmental Facilities Corporation (EFC) at 518-402-7396.

Sincerely,

Nancy W. Lussier  
Director of Management and Budget

Enclosures: a/s

c: Ms. Thompkins, USEPA - Region II  
Mr. Vida, USEPA - Region II

**BUDGET INFORMATION - Non-Construction Programs****SECTION A - BUDGET SUMMARY**

| Grant Program<br>Function<br>or Activity<br>(a) | Catalog of Federal<br>Domestic Assistance<br>- Number<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                |
|---|--|-----------------------------|--------------------|-----------------------|--------------------|----------------|
|   |  | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)   |
| 1. CWSRF  | 66.458   | \$                          | \$                 | \$ 149,760,960        | \$ 31,200,200      | \$ 180,961,160 |
| 2. Admin  |  |                             |                    | 6,240,040             |                    | 6,240,040      |
| 3. Const Grants                                 |  |                             |                    | 1,204,222             | 240,844            | 1,445,066      |
| 4. Const Grants                                 |  |                             |                    |                       |                    |                |
| 5. Totals                                       |  | \$                          | \$                 | \$ 157,205,222        | \$ 31,441,044      | \$ 188,646,266 |

**SECTION B - BUDGET CATEGORIES**

| 6. Object Class Categories             | GRANT PROGRAM, FUNCTION OR ACTIVITY |     |           |     | Total<br>(5)  |
|--|-------------------------------------|-----|-----------|-----|---------------|
|  | (1)                                 | (2) | (3)       | (4) |               |
| a. Personnel                           |                                     |     | 461,129   |     | 461,129       |
| b. Fringe Benefits                     |                                     |     | 199,530   |     | 199,530       |
| c. Travel                              |                                     |     |           |     |               |
| d. Equipment                           |                                     |     |           |     |               |
| e. Supplies                            |                                     |     |           |     |               |
| f. Contractual                         |                                     |     |           |     |               |
| g. Construction                        |                                     |     |           |     |               |
| h. Other                               | 187,837,876                         |     |           |     | 187,837,876   |
| i. Total Direct Charges (sum of 6a-6h) | 187,837,876                         |     | 660,659   |     | 188,498,535   |
| j. Indirect Charges                    |                                     |     | 147,731   |     | 147,731       |
| k. TOTALS (sum of 6i and 6j)           | \$187,837,876                       | \$  | \$808,390 | \$  | \$188,646,266 |
| 7. Program Income                      | \$                                  | \$  | \$        | \$  | \$            |

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| SECTION C - NON-FEDERAL RESOURCES   |                                |                         |                         |                         |                         |
|---|--------------------------------|-------------------------|-------------------------|-------------------------|-------------------------|
| (a) Grant Program   | (b) Applicant                  | (c) State               | (d) Other Sources       | (e) TOTALS              |                         |
| 8. CWSRF  |                                | 31,441,044              |                         | \$ 31,441,044           |                         |
| 9.  |                                |                         |                         | \$                      |                         |
| 10.   |                                |                         |                         | \$                      |                         |
| 11.   |                                |                         |                         | \$                      |                         |
| 12. Total (SUM OF LINES 8-11)   |                                | 31,441,044              |                         | \$ 31,441,044           |                         |
| SECTION D - FORECASTED CASH NEEDS   |                                |                         |                         |                         |                         |
| 13. Federal   | Total for 1 <sup>st</sup> Year | 1 <sup>st</sup> Quarter | 2 <sup>nd</sup> Quarter | 3 <sup>rd</sup> Quarter | 4 <sup>th</sup> Quarter |
|   | \$157,205,222                  | \$                      | \$                      | \$                      | \$157,205,222           |
| 14. Non-Federal   | 31,441,044                     |                         |                         |                         | 31,441,044              |
| 15. TOTAL (sum of lines 13 and 14)  | \$188,646,266                  | \$                      | \$                      | \$                      | \$188,646,266           |
| SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT |                                |                         |                         |                         |                         |
| (a) Grant Program   | FUTURE FUNDING PERIODS (years) |                         |                         |                         |                         |
|   | (b) First                      | (c) Second              | (d) Third               | (e) Fourth              |                         |
| 16.   | \$                             | \$                      | \$                      | \$                      |                         |
| 17.   |                                |                         |                         |                         |                         |
| 18.   |                                |                         |                         |                         |                         |
| 19.   |                                |                         |                         |                         |                         |
| 20. TOTAL (sum of lines 16-19)  | \$                             | \$                      | \$                      | \$                      |                         |
| SECTION F - OTHER BUDGET INFORMATION  |                                |                         |                         |                         |                         |
| 21. Direct Charges:   |                                | 22. Indirect Charges:   |                         |                         |                         |
| 23. Remarks:  |                                |                         |                         |                         |                         |

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**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: A**  
(in descending order of score)

| Project Number | Applicant Name             | Service Area                                | Project Description           | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|----------------------------|---|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C9-6610-05-00  | ELLCOTTVILLE, VILLAGE OF   |   | STP UP [PHASE II]             | \$1,425,000      | \$1,425,000         |       | NY0023574 | 2049  |
| C4-5440-01-02  | CAIRO, TOWN OF             |   | SAWS                          | \$351,600        | \$351,600           |       | NY0260819 | 2041  |
| C5-5571-01-00  | LAKE GEORGE, VILLAGE OF    | SHEPARD PARK PS                             | I/I CORR, PS REHAB, SEW REPI  | \$1,800,000      | \$0                 |       | NY0094366 | 1282  |
| C7-6208-01-00  | GROTON, VILLAGE OF         |   | STP UP/EXP                    | \$3,670,000      | \$1,646,000         |       | NY0025585 | 1122  |
| C5-5529-01-00  | DICKINSON, TOWN OF         | TOWN OF DICKINSON                           | SALT-STOR [HIGHWAY GARAGI     | \$643,000        | \$418,000           |       | NO SPDES  | 1118  |
| C3-5314-01-00  | NORTH SALEM, TOWN OF       | PEACH LAKE                                  | COLL, FM, PS, STP [PHASE 1]   | \$0              | \$0                 |       | NY0274526 | 1097  |
| C3-5314-01-70  | NORTH SALEM, TOWN OF       | PEACH LAKE                                  | COLL, FM, PS, STP [PHASE 1- A | \$3,172,191      | \$979,295           |       | NY0274526 | 1097  |
| C3-5340-06-00  | SOUTHEAST, TOWN OF         | PEACH LAKE                                  | COLL, FM, PS, STP [PHASE 1]   | \$0              | \$0                 |       | NY0274526 | 1097  |
| C3-5340-06-70  | SOUTHEAST, TOWN OF         | PEACH LAKE                                  | COLL, FM, PS, STP [PHASE 1- A | \$1,202,080      | \$344,102           |       | NY0274526 | 1097  |
| C7-6313-03-00  | EAST SYRACUSE, VILLAGE OF  | VILLAGE OF EAST SYRACUSE                    | I/I CORR [VILLAGE WIDE IMPRC  | \$2,800,000      | \$76,000            |       | NY0027081 | 1097  |
| C7-6313-03-01  | EAST SYRACUSE, VILLAGE OF  | VILLAGE OF EAST SYRACUSE                    | I/I CORR [VILLAGE WIDE PHASI  | \$1,932,000      | \$1,932,000         |       | NY0027081 | 1097  |
| C3-5314-01-01  | NORTH SALEM, TOWN OF       | PEACH LAKE                                  | COLL, PS [PHASE 2 - LATERAL   | \$2,812,000      | \$2,812,000         |       | NY0274526 | 1092  |
| C3-5340-06-01  | SOUTHEAST, TOWN OF         | PEACH LAKE                                  | COLL, FM, PS [PHASE 2 - SEWE  | \$988,000        | \$988,000           |       | NY0274526 | 1092  |
| C7-6343-01-00  | LYSANDER, TOWN OF          | WHISPERING OAKS SEWER DIS                   | FM, PS                        | \$1,950,000      | \$1,498,720         | F     | NY0231321 | 1079  |
| C4-5411-03-00  | ALTAMONT, VILLAGE OF       | VILLAGE                                     | I/I CORR, STP IMP             | \$4,068,000      | \$558,000           | F     | NY0031534 | 1072  |
| C6-6031-01-00  | SHERRILL, CITY OF          | PHASE 1 IMPROVEMENTS                        | INT, STP MOD [INTERIM PLANT   | \$1,100,000      | \$292,580           | F     | NY0022110 | 1071  |
| C6-6031-01-01  | SHERRILL, CITY OF          | PHASE II                                    | STP MOD/EXP                   | \$1,750,000      | \$1,750,000         |       | NY0022110 | 1066  |
| C4-5453-01-01  | CHATHAM, VILLAGE OF        | VILLAGE                                     | I/I CORR, SEW REPL, STP IMP   | \$725,000        | \$725,000           |       | NY0023582 | 1064  |
| C4-5453-01-00  | CHATHAM, VILLAGE OF        | VILLAGE                                     | I/I CORR, STP IMP             | \$3,100,000      | \$535,000           | F     | NY0023582 | 1059  |
| C7-6237-02-00  | OWASCO, TOWN OF            | SEWER DISTRICT NO. 1                        | FM, PS                        | \$0              | \$0                 |       | NY0029297 | 1058  |
| C7-6237-02-70  | OWASCO, TOWN OF            | SEWER DISTRICT NO. 1                        | FM, PS                        | \$1,006,684      | \$0                 |       | NY0029297 | 1058  |
| C9-6656-01-00  | WARSAW, TOWN OF            | NYS ROUTE 19 SEWER DISTRIC                  | COLL, FM, PS                  | \$900,000        | \$0                 | F     | NY0021504 | 1046  |
| C5-5505-01-00  | CHATEAUGAY, VILLAGE OF     |   | FM REPL, PS                   | \$1,100,000      | \$8,580             |       | NY0024830 | 1039  |
| C1-5154-06-00  | BROOKHAVEN, TOWN OF        | SEWER DISTRICT #2                           | STP [0.20 MGD]                | \$250,000        | \$42,344            |       | NY0209601 | 1038  |
| C1-5154-06-70  | BROOKHAVEN, TOWN OF        | "Subsidy Line" SEWER DISTRICT #2            | STP [0.20 MGD]                | \$7,600,000      | \$2,611,762         |       | NY0209601 | 1038  |
| C8-6420-04-00  | ERWIN, TOWN OF             | SD #1 - COOPERS PLAINS - LON                | COLL [GRAVITY SEWERS]         | \$4,874,000      | \$4,874,000         | R     | NY0023906 | 209   |
| C8-6802-01-00  | WOLCOTT, TOWN OF           | WOLCOTT/HURON JOINT PORT                    | COLL [WOLCOTT/ HURON JOIN     | \$10,700,000     | \$10,700,000        | R     | NY0095737 | 107   |
| C8-6802-02-00  | WOLCOTT, TOWN OF           | BLIND SODUS BAY SEWER DIS                   | COLL [BLIND SODUS BAY SEW     | \$2,355,000      | \$2,355,000         |       | NY0095737 | 107   |
| C3-5354-02-00  | GREENWOOD LAKE, VILLAGE OF | GREATER GREENWOOD LAKE                      | COLL, FM, PS, STP             | \$10,184,000     | \$10,184,000        |       | NEW SPDES | 103   |
| C5-5564-04-00  | HAGUE, TOWN OF             | MOUTH OF HAGUE BROOK @ L NPS                | [WATERBODY RESTORATI          | \$1,300,000      | \$1,300,000         |       | NO SPDES  | 97    |
| C5-5586-03-00  | BOLTON, TOWN OF            | MOUTH FINKLE BROOK AT L. G NPS              | [FINKLE BROOK DREDGE]         | \$288,000        | \$288,000           |       | NO SPDES  | 87    |
| C5-5511-04-00  | WILLSBORO, TOWN OF         |   | STP UP                        | \$11,964,000     | \$11,964,000        |       | NY0239682 | 76    |
| C4-5410-02-00  | ANDES, TOWN OF             | ANDES SEWER DISTRICT (FOR                   | I/I CORR, STP IMP             | \$2,546,000      | \$2,546,000         | R     | NY0262854 | 68    |
| C9-6715-01-00  | WELLSVILLE, TOWN OF        | SEWER EXTENSION                             | COLL                          | \$675,000        | \$675,000           | R     | NY0020621 | 64    |
| C7-6252-02-00  | OXFORD, VILLAGE OF         | VILLAGE OF OXFORD                           | STP IMP [ PHOSPHORUS AND I    | \$2,786,000      | \$2,786,000         |       | NY0156876 | 58    |
| C9-6098-01-00  | MINA, TOWN OF              | FINDLEY LAKE SEWER SYSTEM                   | COLL, STP                     | \$11,810,000     | \$11,810,000        | R     | NEW SPDES | 56    |
| C5-5572-02-00  | LAKE PLEASANT, TOWN OF     | LAKE PLEASANT & SACANDAG                    | COLL                          | \$2,425,000      | \$2,425,000         |       | NY0183539 | 56    |
| C4-5424-01-00  | NELLISTON, VILLAGE OF      | VILLAGE                                     | COLL, SEW REPL                | \$7,010,000      | \$7,010,000         | R     | NY0107565 | 56    |
| C8-6482-01-00  | WAYNE, TOWN OF             | "Contingency Line" SYLVAN BEACH/WANETA LAKE | COLL, STP                     | \$7,300,000      | \$7,300,000         |       | NEW SPDES | 52    |

NOTES: E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS).

F Indicates the financing is anticipated to close by the end of the 2011 IUP period.

R Projects considered fundable in order to meet requirement for regional distribution of funds.

2012 FINAL CWSRF INTENDED USE PLAN  
Annual CWSRF Project Priority List  
Project Category: A  
(in descending order of score)

| Project Number | Applicant Name            | Service Area                    | Project Description          | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|---------------------------|---------------------------------|------------------------------|------------------|---------------------|-------|-----------|-------|
| C6-6102-01-00  | LOUISVILLE, TOWN OF       | WILSON HILL ISLAND              | COLL, STP                    | \$5,296,000      | \$5,296,000         |       | NEW SPDES | 52    |
| C5-5579-01-00  | MALONE, TOWN OF           | ROUTE 11 WEST SEWER DISTR       | COLL                         | \$355,000        | \$355,000           |       | NY0030376 | 52    |
| C5-5511-05-00  | WILLSBORO, TOWN OF        |                                 | WTP MOD                      | \$922,000        | \$922,000           |       | NO SPDES  | 51    |
| C3-5348-01-00  | ROCKLAND, TOWN OF         | LIVINGSTON MANOR SEWER DIST     | IMP                          | \$4,860,000      | \$4,860,000         |       | NY0025437 | 49    |
| C4-5452-01-00  | FORT PLAIN, VILLAGE OF    | VILLAGE                         | I/I CORR                     | \$1,111,000      | \$1,111,000         |       | NY0107565 | 49    |
| C7-6342-02-00  | PHOENIX, VILLAGE OF       | VILLAGE OF PHOENIX              | I/I CORR, PS UP, STP MOD/UP  | \$6,899,000      | \$6,899,000         |       | NY0020664 | 49    |
| C4-5480-03-00  | EAST GREENBUSH, TOWN OF   | RED MILL ESTATES SEWER DIST     | COLL, FM, PS                 | \$713,000        | \$713,000           |       | NY0026034 | 46    |
| C4-7498-03-00  | GREENVILLE, TOWN OF       | SEWER DISTRICT NO. 1            | COLL, PS, STP MOD/EXP        | \$3,988,000      | \$3,988,000         |       | NY0094854 | 46    |
| C3-5346-06-00  | FALLSBURG, TOWN OF        | MOUNTAINDALE WWTP               | STP MOD/EXP                  | \$8,202,000      | \$8,202,000         |       | NY0145696 | 44    |
| C4-5439-01-00  | RAVENA, VILLAGE OF        | VILLAGE                         | STP                          | \$7,333,000      | \$7,333,000         |       | NEW SPDES | 44    |
| C3-7319-02-00  | WOODSTOCK, TOWN OF        | WOODSTOCK HAMLET & DECEI SAWS   | SEW REHAB, STP IMP           | \$7,644,204      | \$7,644,204         |       | NY0109711 | 44    |
| C4-5495-01-00  | COBLESKILL, TOWN OF       | ROUTE 7 FROM VILLAGE TO HC      | COLL, FM, PS [ROUTE 7 SEWER] | \$3,100,000      | \$3,100,000         |       | NO SPDES  | 41    |
| C7-6205-03-00  | KIRKWOOD, TOWN OF         | ROUTE 11 CORRIDOR               | COLL, FM, PS [GRAVITY SEWER] | \$6,500,000      | \$6,500,000         |       | NY0024414 | 41    |
| C6-6073-01-00  | WEBB, TOWN OF             | PHASE I                         | STP IMP                      | \$2,368,000      | \$2,368,000         |       | NY0021351 | 38    |
| C6-6073-01-01  | WEBB, TOWN OF             | PHASE 2 - JOY TRACT AND THE     | COLL, INT, PS                | \$4,242,000      | \$4,242,000         |       | NY0021351 | 38    |
| C4-5467-02-00  | VOORHEESVILLE, VILLAGE OF | SEWER EXTENSION W/I VILLAGE     | COLL, STP IMP                | \$113,000        | \$113,000           |       | NY0030139 | 36    |
| C9-6676-02-00  | WILSON, VILLAGE OF        |                                 | SEW REHAB, STP UP            | \$2,200,000      | \$2,200,000         |       | NY0020419 | 36    |
| C7-6401-02-00  | UNION SPRINGS, VILLAGE OF |                                 | STP IMP                      | \$1,220,000      | \$1,220,000         |       | NY0024228 | 36    |
| C5-5571-02-00  | LAKE GEORGE, VILLAGE OF   |                                 | STP IMP [INFILTRATION BEDS]  | \$2,200,000      | \$2,200,000         |       | NY0094366 | 36    |
| C9-6674-04-00  | PORTER, TOWN OF           | RAMSOMVILLE SEWER DISTRICT      | COLL, FM, PS, STP            | \$7,027,000      | \$7,027,000         |       | NO SPDES  | 34    |
| C9-6629-02-00  | WESTFIELD, VILLAGE OF     |                                 | STP IMP                      | \$5,650,000      | \$5,650,000         |       | NY0021334 | 34    |
| C9-6629-03-00  | WESTFIELD, VILLAGE OF     | WESTSIDE PS                     | PS IMP                       | \$676,000        | \$676,000           |       | NY0021334 | 34    |
| C4-5426-03-00  | WALTON, VILLAGE OF        |                                 | I/I CORR                     | \$1,324,000      | \$1,324,000         |       | NY0027154 | 34    |
| C8-6453-05-00  | AVON, VILLAGE OF          |                                 | COMP, STP REHAB [DIGESTER]   | \$2,546,000      | \$2,546,000         |       | NY0024449 | 34    |
| C9-6626-01-00  | SILVER CREEK, VILLAGE OF  | ENTIRE VILLAGE                  | STP MOD/UP                   | \$6,947,000      | \$6,947,000         |       | NY0022411 | 34    |
| C3-5334-01-00  | BUCHANAN, VILLAGE OF      | VILLAGE OF BUCHANAN             | PS IMP, STP IMP              | \$1,490,000      | \$1,490,000         |       | NY0029971 | 34    |
| C8-6424-04-00  | MONTOUR FALLS, VILLAGE OF |                                 | I/I CORR, SEW REHAB, STP IMP | \$6,550,000      | \$6,550,000         |       | NY0021865 | 34    |
| C7-6351-01-00  | MEXICO, VILLAGE OF        | VILLAGE OF MEXICO               | SEW REHAB, STP UP            | \$5,780,000      | \$5,780,000         |       | NY0036617 | 34    |
| C3-5378-02-00  | THOMPSON, TOWN OF         |                                 | PS IMP [BENMOSCHE AND HAF]   | \$1,479,000      | \$1,479,000         |       | NY0022454 | 34    |
| C3-7337-02-00  | MONTGOMERY, TOWN OF       | MONTGOMERY SD#1 & #2 - NE       | STP UP/EXP                   | \$8,908,731      | \$8,908,731         |       | NY0247782 | 34    |
| C3-7298-01-00  | ROSENDALE, TOWN OF        |                                 | STP IMP                      | \$1,989,000      | \$1,989,000         |       | NY0109061 | 34    |
| C6-6077-02-00  | VERNON, VILLAGE OF        |                                 | I/I CORR, SEW REHAB          | \$1,050,000      | \$1,050,000         |       | NY0020249 | 34    |
| C8-6454-01-00  | DUNDEE, VILLAGE OF        |                                 | STP IMP                      | \$4,600,000      | \$4,600,000         |       | NY0025445 | 34    |
| C5-5503-16-00  | PLATTSBURGH, TOWN OF      | BASE SEWER DISTRICT             | SEW REHAB                    | \$687,000        | \$687,000           |       | NY0026018 | 34    |
| C5-5503-17-00  | PLATTSBURGH, TOWN OF      | I-87 PUMP STATION (TRADE RC FM) | REHAB, PS REHAB              | \$682,000        | \$682,000           |       | NY0026018 | 34    |
| C7-6352-05-00  | HASTINGS, TOWN OF         | ROUTE 37 WEST CORRIDOR          | FM, INT, PS [CAUGHDENNOY SD] | \$6,133,000      | \$6,133,000         |       | NY0157376 | 34    |
| C5-5530-02-00  | NORTHAMPTON, TOWN OF      | SACANDAGA PARK SD               | I/I CORR, STP REHAB/EXP      | \$5,798,000      | \$5,798,000         |       | NY0030066 | 34    |
| C3-5326-01-00  | MAYBROOK, VILLAGE OF      |                                 | STP UP/EXP                   | \$6,339,000      | \$6,339,000         |       | NY0023272 | 33    |
| C3-5326-02-00  | MAYBROOK, VILLAGE OF      |                                 | I/I CORR, OS                 | \$1,629,000      | \$1,629,000         |       | NY0023272 | 33    |

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R Projects considered fundable in order to meet requirement for regional distribution of funds.

**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: A**  
(in descending order of score)

| Project Number | Applicant Name           | Service Area               | Project Description           | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|--------------------------|----------------------------|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C8-6457-01-00  | MANCHESTER, VILLAGE OF   | MANCHESTER-SHORTVILLE      | FM, PS, STP IMP               | \$5,350,000      | \$5,350,000         |       | NY0030813 | 33    |
| C9-6667-01-00  | CANEADEA, TOWN OF        |                            | STP UP                        | \$4,675,000      | \$4,675,000         |       | NY0024431 | 33    |
| C5-5512-03-00  | LAKE PLACID, VILLAGE OF  |                            | SEW REPL                      | \$4,080,000      | \$4,080,000         |       | NY0022187 | 33    |
| C5-5584-01-00  | JAY, TOWN OF             |                            | STP REBUILD                   | \$5,305,000      | \$5,305,000         |       | NY0201910 | 33    |
| C8-6457-02-00  | MANCHESTER, VILLAGE OF   | STATE STREET               | I/I CORR, STMSEW              | \$315,000        | \$315,000           |       | NY0030813 | 33    |
| C6-6015-02-00  | DEXTER, VILLAGE OF       |                            | I/I CORR, SEW REHAB, STP UP   | \$6,100,000      | \$6,100,000         |       | NY0031461 | 33    |
| C6-6109-01-00  | BROWNVILLE, VILLAGE OF   |                            | SEW REPL, STP REBUILD [AER    | \$4,946,000      | \$4,946,000         |       | NY0031232 | 33    |
| C6-6011-02-00  | THERESA, VILLAGE OF      |                            | PS IMP, STP REHAB [PS EAST    | \$266,000        | \$266,000           |       | NY0207004 | 33    |
| C3-5313-02-00  | GOSHEN, TOWN OF          | ARCADIA HILLS SEWER DISTRI | I/I CORR, SEW REPL            | \$3,096,000      | \$3,096,000         |       | NY0031518 | 33    |
| C6-6069-03-00  | ANTWERP, VILLAGE OF      |                            | COMP, STP IMP [RBC]           | \$1,976,000      | \$1,976,000         |       | NY0235890 | 33    |
| C6-6027-03-00  | ORLEANS, TOWN OF         | HAMLET OF LAFARGEVILLE     | PS UP, STP IMP [NORTHSIDE P   | \$744,000        | \$744,000           |       | NY0121070 | 33    |
| C6-6030-02-00  | MARTINSBURG, TOWN OF     | GLENFIELD SD               | I/I CORR, STP IMP [GENERATOI  | \$363,000        | \$363,000           |       | NY0020281 | 33    |
| C8-6446-05-00  | YORK, TOWN OF            | RETSEW SEWER DISTRICT      | SEW REHAB [RETSEW SEWER I     | \$1,437,000      | \$1,437,000         |       | NY0023990 | 33    |
| C3-5313-01-00  | GOSHEN, TOWN OF          | HAMBLETONIAN PARK SD       | I/I CORR, SEW REPL            | \$2,241,000      | \$2,241,000         |       | NY0031518 | 33    |
| C6-6008-02-00  | HERKIMER, TOWN OF        | EAST HERKIMER SEWER DIST   | COLL [GRAVITY SEWERS]         | \$1,776,000      | \$1,776,000         |       | NY0020486 | 31    |
| C7-6213-02-00  | FENTON, TOWN OF          | HILLCREST S.D. NO.1        | COLL, PS MOD [GRAVITY SEWE    | \$17,800,000     | \$17,800,000        |       | NEW SPDES | 31    |
| C7-6399-01-00  | DRYDEN, VILLAGE OF       |                            | SEW REHAB, STP IMP [ PHOSP    | \$6,500,000      | \$6,500,000         |       | NY0029190 | 31    |
| C5-5528-02-00  | WESTVILLE, TOWN OF       |                            | SALT-STOR                     | \$500,000        | \$500,000           |       | NO SPDES  | 31    |
| C6-6048-04-00  | VERONA, TOWN OF          | VERONA                     | COLL, FM, PS                  | \$10,178,000     | \$10,178,000        |       | NO SPDES  | 31    |
| C6-6121-01-00  | HAMMOND, TOWN OF         |                            | SALT-STOR                     | \$323,000        | \$323,000           |       | NO SPDES  | 31    |
| C5-5513-02-00  | BOMBAY, TOWN OF          |                            | SALT-STOR                     | \$480,000        | \$480,000           |       | NO SPDES  | 31    |
| C6-6105-01-00  | ALEXANDRIA, TOWN OF      | ROUTE 12 SEWERS            | COLL [LOW PRESSURE ]          | \$6,324,000      | \$6,324,000         |       | NY0022501 | 31    |
| C3-5339-01-00  | MILLERTON, VILLAGE OF    | MILLERTON CENTRAL SD       | COLL, STP [NEW SYSTEM]        | \$9,031,000      | \$9,031,000         |       | NEW SPDES | 31    |
| C9-6613-01-00  | YORKSHIRE, TOWN OF       | YORKSHIRE CORNERS SD       | COLL, FM, PS, STP             | \$3,550,000      | \$3,550,000         |       | NO SPDES  | 31    |
| C6-6161-01-00  | HARRISVILLE, VILLAGE OF  |                            | COLL, STP [GRAVITY SEWERS,    | \$6,500,000      | \$6,500,000         |       | NEW SPDES | 31    |
| C7-6345-03-00  | SCRIBA, TOWN OF          | ROUTE 104                  | COLL, FM, PS                  | \$3,539,000      | \$3,539,000         |       | NO SPDES  | 31    |
| C3-7356-03-00  | BETHEL, TOWN OF          | PA DISTRICT                | COLL, FM, PS                  | \$1,950,000      | \$1,950,000         |       | NY0099368 | 31    |
| C4-5441-02-00  | AMSTERDAM, TOWN OF       | LOWER MIDLINE ROAD SEWER   | COLL, FM, PS                  | \$2,620,000      | \$2,620,000         |       | NY0020290 | 31    |
| C5-5503-06-00  | PLATTSBURGH, TOWN OF     | INDUSTRIAL PARK SEWER DIST | COLL                          | \$1,945,000      | \$1,945,000         |       | NY0026018 | 31    |
| C7-6341-01-00  | SCHROEPEL, TOWN OF       | ROUTE 57                   | COLL, FM, PS                  | \$735,000        | \$735,000           |       | NO SPDES  | 31    |
| C4-5441-03-00  | AMSTERDAM, TOWN OF       | SUNSET ROAD AREA SEWER E   | COLL, FM, PS                  | \$740,000        | \$740,000           |       | NY0020290 | 31    |
| C5-5503-10-00  | PLATTSBURGH, TOWN OF     | QUARRY ROAD SEWER          | COLL                          | \$713,000        | \$713,000           |       | NY0026018 | 31    |
| C6-6008-01-00  | HERKIMER, TOWN OF        | HIGHLAND AVE., BEARSLEE AV | COLL [GRAVITY SEWERS]         | \$405,000        | \$405,000           |       | NY0020486 | 31    |
| C7-6352-04-00  | HASTINGS, TOWN OF        | RT-11 SEWER DISTRICT-NORT  | COLL, FM, PS                  | \$2,049,000      | \$2,049,000         |       | NO SPDES  | 31    |
| C8-6452-01-00  | NORTH DANSVILLE, TOWN OF | BELLA VISTA SD             | COLL                          | \$1,167,000      | \$1,167,000         |       | NY0024384 | 31    |
| C6-6106-01-00  | WADDINGTON, TOWN OF      |                            | COLL                          | \$642,000        | \$642,000           |       | NY0030180 | 31    |
| C6-6043-02-00  | TRENTON, TOWN OF         | HINCKLEY(H)                | COLL, STP                     | \$500,000        | \$500,000           |       | NEW SPDES | 31    |
| C3-5337-01-00  | BEEKMAN, TOWN OF         | BEEKMAN TOWN CENTER        | COLL, STP UP/EXP              | \$9,750,146      | \$9,750,146         |       | NY0214531 | 26    |
| C4-5454-01-00  | KINDERHOOK, VILLAGE OF   | VILLAGE SQUARE             | COLL, FM, PS, STP IMP [ @ VAL | \$653,000        | \$653,000           |       | NY0021806 | 26    |

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**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: A**  
(in descending order of score)

| Project Number | Applicant Name          | Service Area                | Project Description        | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|-------------------------|-----------------------------|----------------------------|------------------|---------------------|-------|-----------|-------|
| C3-5367-02-00  | MONROE, TOWN OF         | CODY SD                     | COLL, FM                   | \$2,245,536      | \$2,245,536         |       | NY0027901 | 26    |
| C5-5546-04-00  | CLIFTON PARK, TOWN OF   | REXFORD SEWER CONNECTIO     | COLL, FM, PS               | \$905,000        | \$905,000           |       | NY0020516 | 26    |
| C5-5539-04-00  | SPECULATOR, VILLAGE OF  | RTS 8 & 30 AND CAULKINS CAN | COLL                       | \$2,270,000      | \$2,270,000         |       | NY0026484 | 26    |
| C3-7342-04-00  | WAWAYANDA, TOWN OF      | SLATE HILL SEWER DISTRICT   | COLL, STP                  | \$12,516,000     | \$12,516,000        |       | NEW SPDES | 26    |
| C7-6350-01-00  | CAZENOVIA, VILLAGE OF   | VILLAGE OF CAZENOVIA        | NPS [STORM WATER TREATME   | \$367,000        | \$367,000           |       | NY0028525 | 24    |
| C8-6444-01-00  | SCOTTSVILLE, VILLAGE OF | VILLAGE OF SCOTTSVILLE      | I/I CORR                   | \$1,300,000      | \$1,300,000         |       | NY0020133 | 24    |
| C7-6292-04-00  | SULLIVAN, TOWN OF       | EAST SULLIVAN SEWER DISTRI  | I/I CORR                   | \$372,000        | \$372,000           |       | NY0036790 | 24    |
| C8-6437-05-00  | ONTARIO COUNTY          | CANANDAIGUA LAKE COUNTY     | PS REHAB                   | \$1,100,000      | \$1,100,000         |       | NY0025968 | 23    |
| C8-6428-01-00  | MARION, TOWN OF         |                             | STP IMP                    | \$6,161,000      | \$6,161,000         |       | NY0031569 | 23    |
| C5-5533-02-00  | BROADALBIN, VILLAGE OF  |                             | STP EXP                    | \$1,915,000      | \$1,915,000         |       | NY0251739 | 23    |
| C5-5593-01-00  | MOREAU, TOWN OF         | ROUTE 9 SEWER DISTRICT      | COLL [ROUTE 9 SEWER DISTRI | \$14,135,000     | \$14,135,000        |       | NY0028240 | 23    |
| C3-7361-03-00  | TUXEDO PARK, VILLAGE OF |                             | STP REHAB                  | \$168,800        | \$168,800           |       | NY0031216 | 23    |
| C8-6456-01-00  | CANANDAIGUA, TOWN OF    | PURDY/ MOBILE ROAD SEWER    | COLL, FM, PS               | \$1,017,000      | \$1,017,000         |       | NO SPDES  | 21    |
| C8-6456-02-00  | CANANDAIGUA, TOWN OF    | NYS RT 21/GRANDVIEW PARK/   | COLL, FM, PS [SEWER EXTENS | \$2,330,000      | \$2,330,000         |       | NO SPDES  | 21    |
| C5-5544-01-00  | STILLWATER, TOWN OF     | SEWER DISTRICT NO. 5        | COLL                       | \$1,687,000      | \$1,687,000         |       | NY0093637 | 21    |
| C4-5491-07-00  | GLENVILLE, TOWN OF      | WOODCREST-SD #9, EXT. 7     | COLL                       | \$295,000        | \$295,000           |       | NY0020516 | 21    |
| C5-5519-02-00  | PUTNAM, TOWN OF         | ROYAL ANCHORAGE SD          | COLL, INT, PS, STP         | \$700,000        | \$700,000           |       | NO SPDES  | 0     |

Category A Subtotal: \$422,508,400  
Total Number of Projects: 134

F Projects \$ / #: \$2,882,300 / 5

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**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: B**  
**(in descending order of score)**

| Project Number | Applicant Name                      | Service Area              | Project Description          | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|-------------------------------------|---------------------------|------------------------------|------------------|---------------------|-------|-----------|-------|
| C7-6320-06-06  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [CSO AREA 022 AND 045]   | \$6,569,000      | \$6,569,000         |       | NY0027081 | 2146  |
| C7-6201-03-02  | BINGHAMTON (C)-JOHNSON CITY (V)     |                           | STP UP [PHASE III FOR CSO AE | \$7,900,000      | \$7,900,000         |       | NY0024406 | 2138  |
| C7-6201-03-03  | BINGHAMTON / JOHNSON CITY           |                           | STP REBUILD [C,N AND DN CEL  | \$9,000,000      | \$9,000,000         |       | NY0024406 | 2138  |
| C7-6320-16-01  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [MIDLAND PHASE III (CSO  | \$27,356,320     | \$7,356,320         |       | NY0027081 | 2136  |
| C7-6320-16-02  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [MIDLAND PHASE III (CSO  | \$25,460,000     | \$25,460,000        |       | NY0027081 | 2136  |
| C3-5361-02-01  | YORKTOWN, TOWN OF                   | HALLOCK MILL              | I/I CORR                     | \$305,100        | \$305,100           |       | NY0026743 | 2133  |
| C3-5362-18-02  | WESTCHESTER COUNTY                  | NEW ROCHELLE SD           | STP UP [CONSTRUCT SNR-06]    | \$50,000,000     | \$50,000,000        |       | NY0026697 | 2127  |
| C3-5362-18-03  | WESTCHESTER COUNTY                  | NEW ROCHELLE SD           | STP UP [CONSTRUCT SNR-06]    | \$33,000,000     | \$33,000,000        |       | NY0026697 | 2127  |
| C7-6344-19-02  | OSWEGO, CITY OF                     | WESTSIDE CSO LONG TERM C  | CSO [SEWER SEPARATION / RE   | \$8,555,000      | \$440               |       | NY0029106 | 2104  |
| C7-6344-19-03  | OSWEGO, CITY OF                     | WESTSIDE CSO LONG TERM C  | CSO [EXCESS FLOW MANAGEM     | \$2,255,000      | \$2,255,000         |       | NY0029106 | 2104  |
| C7-6344-19-04  | OSWEGO, CITY OF                     | WESTSIDE CSO LONG TERM C  | SSO [CONVEYANCE SYSTEM II    | \$8,096,000      | \$8,096,000         |       | NY0029106 | 2104  |
| C3-5315-05-01  | MIDDLETOWN, CITY OF                 |                           | STP UP/EXP                   | \$5,670,000      | \$5,670,000         |       | NY0026328 | 2064  |
| C3-5315-05-71  | MIDDLETOWN, CITY OF                 |                           | STP UP/EXP [ARRA]            | \$11,547,105     | \$0                 |       | NY0026328 | 2064  |
| C9-6603-02-01  | NIAGARA FALLS PUBLIC WATER AUT      | NORTH GORGE INTER.        | SEW REHAB                    | \$58,098         | \$3                 |       | NY0026336 | 2062  |
| C9-6603-02-71  | NIAGARA FALLS PUBLIC WATER AUT      | NORTH GORGE INTER.        | SEW REHAB                    | \$5,470,953      | \$0                 |       | NY0026336 | 2062  |
| C3-5317-05-02  | GOSHEN, VILLAGE OF                  |                           | STP REBUILD/EXP              | \$9,420,500      | \$9,420,500         |       | NY0031518 | 2053  |
| C8-6449-04-01  | LIVINGSTON COUNTY                   | PHASE 2                   | STP MOD/EXP                  | \$3,400,000      | \$58,080            |       | NY0032328 | 2048  |
| C3-5368-15-03  | ROCKLAND COUNTY                     | SD #1 (WEST RAMAPO)       | COLL, FM, INT, PS            | \$20,000,000     | \$20,000,000        |       | NY0270598 | 2046  |
| C3-5368-15-04  | ROCKLAND COUNTY                     | SD #1 (WEST RAMAPO)       | COLL, FM, INT, PS            | \$23,000,000     | \$23,000,000        |       | NY0270598 | 2046  |
| C3-5381-27-01  | WESTCHESTER COUNTY                  | YONKERS SD                | STP REHAB [SYO-37 BULKHEAD   | \$2,500,000      | \$2,500,000         |       | NY0026689 | 2034  |
| C3-5381-27-02  | WESTCHESTER COUNTY                  | YONKERS SD                | STP REHAB [SYO-37 BULKHEAD   | \$4,000,000      | \$4,000,000         |       | NY0026689 | 2034  |
| C3-5381-27-03  | WESTCHESTER COUNTY                  | YONKERS SD                | STP REHAB [SYO-37 BULKHEAD   | \$4,400,000      | \$4,400,000         |       | NY0026689 | 2034  |
| C1-5160-04-00  | NORTHPORT, VILLAGE OF               |                           | I/I CORR, STP UP [PHASE II]  | \$9,030,000      | \$1,789,000         | F     | NY0024881 | 1186  |
| C5-5502-02-00  | PLATTSBURGH, CITY OF                | AKEY ROAD LANDFILL RECLOS | LF-CAP (TITLE 5)             | \$18,100         | \$84                |       | NO SPDES  | 1167  |
| C5-5502-02-70  | PLATTSBURGH, CITY OF                | AKEY ROAD LANDFILL RECLOS | LF-CAP (TITLE 5)             | \$2,350,000      | \$13,506            |       | NO SPDES  | 1167  |
| C3-5311-02-00  | AMENIA, TOWN OF                     | TOWN OF AMENIA, RTE 22    | LF-CAP (TITLE 3)             | \$3,248,298      | \$0                 |       | NO SPDES  | 1162  |
| C1-5195-01-00  | NORTH HEMPSTEAD, TOWN OF            | GREAT NECK WPCP           | STP UP [BNR/UV]              | \$60,000,000     | \$0                 |       | NY0026999 | 1159  |
| C7-6320-12-00  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [HARBOR BROOK CSO AB     | \$0              | \$0                 |       | NY0027081 | 1141  |
| C7-6320-12-70  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [HARBOR BROOK CSO AB     | \$14,500,000     | \$5,400,000         |       | NY0027081 | 1141  |
| C7-6320-12-01  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [HARBOR BROOK CSO AB     | \$57,545,691     | \$23,856,191        | F     | NY0027801 | 1136  |
| C7-6320-15-01  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [CLINTON CSO ABATEMEN    | \$71,100,000     | \$71,100,000        |       | NY0027081 | 1136  |
| C7-6320-15-02  | ONONDAGA COUNTY                     | ONONDAGA LAKE IMPROVEME   | CSO [CLINTON CSO ABATEMEN    | \$29,126,000     | \$29,126,000        |       | NY0027081 | 1136  |
| C3-7396-02-00  | WESTCHESTER COUNTY                  | MAMARONECK, NEW ROCHELL   | STP UP [NUTRIENT REMOVAL (   | \$0              | \$0                 |       | NY0026701 | 1127  |
| C3-7396-02-70  | WESTCHESTER COUNTY                  | MAMARONECK, NEW ROCHELL   | STP UP [NUTRIENT REMOVAL (   | \$55,000,000     | \$33,525,618        |       | NY0026701 | 1127  |
| C7-6235-02-00  | CAYUGA COUNTY WATER AND SEWER AUTHO | PHASE 2                   | COLL [LITTLE SODUS BAY]      | \$4,277,000      | \$2,884,100         | F     | NY0095737 | 1127  |
| C7-6235-04-00  | CAYUGA COUNTY WATER AND SEWER AUTHO | PHASE 4                   | COLL [LITTLE SODUS BAY]      | \$4,786,000      | \$2,819,313         | F     | NY0095737 | 1127  |
| C3-7396-02-03  | WESTCHESTER COUNTY                  | MAMARONECK, NEW ROCHELL   | STP UP [NUTRIENT REMOVAL (   | \$30,000,000     | \$30,000,000        |       | NY0026701 | 1122  |
| C3-7396-02-04  | WESTCHESTER COUNTY                  | MAMARONECK, NEW ROCHELL   | STP UP [NUTRIENT REMOVAL (   | \$85,700,000     | \$85,700,000        |       | NY0026701 | 1122  |
| C1-7370-02-00  | PATCHOGUE, VILLAGE OF               | VILLAGE SD                | STP MOD/EXP [UV & AMMONIA]   | \$0              | \$0                 |       | NY0023922 | 1122  |

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**2012 FINAL CWSRF INTENDED USE PLAN**  
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**Project Category: B**  
(in descending order of score)

| Project Number | Applicant Name                      | Service Area               | Project Description          | Estimated Amount            | Additional Above ST | Notes        | SPDES No  | Score     |     |
|----------------|-------------------------------------|----------------------------|------------------------------|-----------------------------|---------------------|--------------|-----------|-----------|-----|
| C1-7370-02-70  | PATCHOGUE, VILLAGE OF               | VILLAGE SD                 | STP MOD/EXP [UV & AMMONIA]   | \$3,300,000                 | \$0                 |              | NY0023922 | 1122      |     |
| C9-6673-01-00  | TONAWANDA, TOWN OF                  | PARKER-FRIES INTERCEPTOR   | COLL, INT [PARKER-FRIES INT  | \$30,000,000                | \$4,000,000         |              | NY0026395 | 1116      |     |
| C6-6076-05-00  | UTICA, CITY OF                      | PHASE A1,A2,A3 & A4        | CSO, I/I CORR [JASON ST,ERIE | \$12,700,000                | \$899,954           |              | NY0031429 | 1112      |     |
| C9-6673-01-01  | TONAWANDA, TOWN OF                  | PARKER-FRIES INTERCEPTOR   | COLL, INT                    | \$17,000,000                | \$17,000,000        |              | NY0026395 | 1111      |     |
| C9-6602-09-00  | BUFFALO SEWER AUTHORITY             | HAMBURG DRAIN              | CSO                          | \$238,699                   | \$0                 |              | NY0028410 | 1109      |     |
| C9-6602-09-70  | BUFFALO SEWER AUTHORITY             | HAMBURG DRAIN              | CSO                          | \$9,143,901                 | \$490,001           |              | NY0028410 | 1109      |     |
| C6-6070-08-00  | ONEIDA COUNTY                       | PHASE 1 & 2A               | I/I CORR [9 CONTRIBUTING COI | \$25,800,000                | \$0                 |              | NY0025780 | 1107      |     |
| C6-6070-08-01  | ONEIDA COUNTY                       | PHASE 2B & 3               | I/I CORR [SSO]               | \$57,260,000                | \$57,260,000        |              | NY0025780 | 1107      |     |
| C6-6070-08-02  | ONEIDA COUNTY                       | PHASE 5A                   | FM, PS REHAB [DESIGN AND PI  | \$3,000,000                 | \$3,000,000         |              | NY0025780 | 1107      |     |
| C6-6076-05-01  | UTICA, CITY OF                      | PHASE A8.1                 | CSO, SEW SEP [CSO 127]       | \$6,314,000                 | \$6,314,000         |              | NY0031429 | 1107      |     |
| C7-6393-10-00  | SALINA, TOWN OF                     |                            | LF-CAP (TITLE 5), LF-LCH     | \$6,106,000                 | \$6,106,000         |              | NY0027081 | 1107      |     |
| C3-5368-26-00  | ROCKLAND COUNTY                     | SD #1                      | PS REHAB, STP REHAB [PHASE   | \$95,775                    | \$0                 |              | NY0031895 | 1106      |     |
| C3-5368-26-70  | ROCKLAND COUNTY                     | SD #1                      | PS REHAB, STP REHAB [PHASE   | \$9,904,225                 | \$222,501           |              | NY0031895 | 1106      |     |
| C3-5368-27-00  | ROCKLAND COUNTY                     | SD #1                      | PS REHAB, STP REHAB [PHASE   | \$9,370,000                 | \$222,448           |              | NY0031895 | 1106      |     |
| C7-6344-17-00  | OSWEGO, CITY OF                     | WESTSIDE WWTP              | STP UP/EXP                   | \$8,150,000                 | \$0                 |              | NY0029106 | 1104      |     |
| C1-5105-03-00  | NASSAU COUNTY                       | THE BIRCHES/CONTINENTAL VI | COLL, FM, PS [CONVEYANCE T   | \$0                         | \$0                 |              | NY0189950 | 1102      |     |
| C1-5105-03-70  | NASSAU COUNTY                       | THE BIRCHES/CONTINENTAL VI | COLL, FM, PS [CONVEYANCE T   | \$3,000,000                 | \$22,736            |              | NY0189950 | 1102      |     |
| C1-5155-42-00  | OYSTER BAY, TOWN OF                 | THE BIRCHES/CONTINENTAL VI | COLL, FM, PS [CONVEYANCE T   | \$150,000                   | \$8,106             |              | NY0189950 | 1102      |     |
| C1-5155-42-70  | OYSTER BAY, TOWN OF                 | THE BIRCHES/CONTINENTAL VI | COLL, FM, PS [CONVEYANCE T   | \$3,200,000                 | \$72,628            |              | NY0189950 | 1102      |     |
| C7-6393-09-00  | SALINA, TOWN OF                     | BELMONT ST & GARDEN CITY   | SEW REHAB [SSO ELIMINATION   | \$4,624,000                 | \$83,700            |              | NY0027081 | 1097      |     |
| C1-5162-04-00  | BABYLON, TOWN OF                    | WYANDANCH                  | COLL, FM, PS [WYANDANCH CK   | \$13,950,100                | \$0                 |              | NY0104809 | 1094      |     |
| C4-5419-01-00  | ALBANY COUNTY                       | ALBANY COUNTY SEWER DIST   | STP MOD [DISINFECTION]       | \$8,219,000                 | \$148,706           | F            | NY0026875 | 1086      |     |
| C7-6393-05-00  | SALINA, TOWN OF                     | SALTMAKERS RD/SCHOOL RD/   | I/I CORR, SEW REHAB          | \$706,000                   | \$12,966            |              | NY0027081 | 1082      |     |
| C7-6393-07-00  | SALINA, TOWN OF                     | EAST MOLLOY RD/MEDFORD A   | SEW REPL [SSO ELIMINATION]   | \$820,000                   | \$16,800            |              | NY0027081 | 1082      |     |
| C1-7334-04-00  | LAWRENCE, VILLAGE OF                | VILLAGE SD                 | FM, PS UP, STP REPL [DIVERSI | \$0                         | \$0                 |              | NY0020354 | 1081      |     |
| C1-7334-04-70  | LAWRENCE, VILLAGE OF                | VILLAGE SD                 | FM, PS UP, STP REPL [DIVERSI | \$6,900,000                 | \$758,080           |              | NY0020354 | 1081      |     |
| C1-5107-04-00  | CEDARHURST, VILLAGE OF              | VILLAGE SD                 | FM MOD, PS IMP, SEW REPL, S  | \$0                         | \$0                 |              | NY0026450 | 1081      |     |
| C1-5107-04-70  | CEDARHURST, VILLAGE OF              | VILLAGE SD                 | FM MOD, PS IMP, SEW REPL, S  | \$6,400,000                 | \$590,040           |              | NY0026450 | 1081      |     |
| C3-5371-01-00  | SCARSDALE, VILLAGE OF               |                            | NPS [STORMWATER MANAGEN      | \$1,740,000                 | \$0                 | F            | NO SPDES  | 1072      |     |
| C3-5376-03-00  | ROCKLAND COUNTY SOLID W. MGMT AUTH. | CLARKSTOWN TRANSFER STA    | NPS [STMW COLL]              | \$3,972,900                 | \$253,740           |              | NY0031895 | 1066      |     |
| C4-5404-09-00  | COHOES, CITY OF                     | COLUMBIA ST AREA           | SEW SEP [COLUMBIA ST AREA    | \$1,750,000                 | \$192,949           |              | NY0031046 | 1066      |     |
| C9-6614-03-00  | OLEAN, CITY OF                      | EAST OLEAN                 | FM, INT, PS                  | \$3,400,000                 | \$677,000           | F            | NY0027162 | 1063      |     |
| C4-5409-01-00  | RENSSELAER, CITY OF                 | WASHINGTON AVENUE & NORT   | SEW REPL, SEW SEP [WASHIN    | \$7,030,000                 | \$124,999           | F            | NY0026026 | 1061      |     |
| C8-6408-04-00  | NEWARK, VILLAGE OF                  | VILLAGE OF NEWARK          | I/I CORR, PS REPL, STP MOD/U | \$17,924,000                | \$641,000           |              | NY0029475 | 1061      |     |
| C3-5315-02-00  | MIDDLETOWN, CITY OF                 |                            | I/I CORR                     | \$5,500,000                 | \$1,540,000         |              | NY0026328 | 1059      |     |
| C4-5405-01-00  | RENSSELAER COUNTY                   | RENSSELAER COUNTY SEWER    | PS IMP                       | \$7,658,000                 | \$158,000           |              | NY0087971 | 1053      |     |
| C5-5509-02-00  | DANNEMORA, VILLAGE OF               |                            | STP MOD/UP                   | \$3,500,000                 | \$500,000           |              | NY0022195 | 1053      |     |
| C3-5383-03-00  | LLOYD, TOWN OF                      | HIGHLAND WWTP              | I/I CORR, STP EXP, STP IMP   | \$8,282,251                 | \$155,625           |              | NY0024295 | 1048      |     |
| C1-5123-08-00  | RIVERHEAD, TOWN OF                  | "Subsidy Line"             | RIVERHEAD SEWER DISTRICT     | STP UP [BNR - PECONIC BAY T | \$20,548,000        | \$20,548,000 |           | NY0020061 | 154 |

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(in descending order of score)

| Project Number | Applicant Name                       | Service Area  | Project Description         | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|--------------------------------------|---|-----------------------------|------------------|---------------------|-------|-----------|-------|
| C7-6320-02-00  | ONONDAGA COUNTY                      | ONONDAGA LAKE IMPROVEME                                   | CSO TREATMENT (FLOATAB)     | \$14,700,000     | \$14,700,000        |       | NY0027081 | 136   |
| C7-6322-09-00  | ONONDAGA COUNTY                      | ONONDAGA LAKE IMPROVEME                                   | STP UP [ADVANCED EFFLUENT   | \$6,329,000      | \$6,329,000         |       | NY0027081 | 136   |
| C7-6322-09-01  | ONONDAGA COUNTY                      | ONONDAGA LAKE IMPROVEME                                   | STP UP [ADVANCED EFFLUENT   | \$77,908,000     | \$77,908,000        |       | NY0027081 | 136   |
| C3-5346-05-00  | FALLSBURG, TOWN OF                   | LOCH SHELDRAKE WWTP                                       | STP UP/EXP [PHASE 1]        | \$4,485,000      | \$4,485,000         |       | NY0024538 | 117   |
| C3-5346-05-01  | FALLSBURG, TOWN OF                   | LOCH SHELDRAKE WWTP                                       | STP UP/EXP [PHASE 2]        | \$16,503,000     | \$16,503,000        |       | NY0024538 | 117   |
| C3-7348-02-00  | POUGHKEEPSIE, CITY OF                |   | BRNFLD [DELAVAL SITE ENVIR  | \$10,936,190     | \$10,936,190        |       | NO SPDES  | 99    |
| C1-5149-25-00  | NASSAU COUNTY                        | CEDAR CREEK, SD #3 AND BAY NPS, STMSEW [OUTFALL IMPR      |                             | \$1,500,000      | \$1,500,000         | R     | NY0026859 | 97    |
| C9-6649-07-00  | ERIE COUNTY                          | SD #3 - BLASDELL, RUSH CREEK INT, PS [ELIMINATION OF BLAS |                             | \$7,738,000      | \$7,738,000         | R     | NY0020681 | 97    |
| C4-5405-02-00  | RENSSELAER COUNTY                    | RENSSELAER COUNTY SEWER                                   | STP IMP [DISINFECTION]      | \$2,550,000      | \$2,550,000         | R     | NY0087971 | 86    |
| C7-6393-08-00  | SALINA, TOWN OF                      | SEHR PARK/FACTORY AVE                                     | SEW REHAB [SSO ELIMINATION  | \$550,000        | \$550,000           |       | NY0027081 | 82    |
| C1-5146-27-00  | NASSAU COUNTY                        | BAY PARK, SD #2   | FM, PS [DIVERSION FROM LAW  | \$1,220,400      | \$1,220,400         | R     | NY0026450 | 81    |
| C4-5480-04-00  | EAST GREENBUSH, TOWN OF              |   | STP IMP [UV DISINFECTION]   | \$858,000        | \$858,000           | R     | NY0026034 | 81    |
| C9-6659-05-00  | LOCKPORT, CITY OF                    |   | CSO, SEW REHAB              | \$4,400,000      | \$4,400,000         | R     | NY0027057 | 78    |
| C4-5480-05-00  | EAST GREENBUSH, TOWN OF              |   | STP IMP                     | \$6,802,000      | \$6,802,000         | R     | NY0026034 | 76    |
| C3-7332-06-00  | NEWBURGH, CITY OF                    |   | STP IMP [FINE BUBBLE AERAT  | \$3,625,000      | \$3,625,000         |       | NY0026310 | 74    |
| C3-5310-01-00  | PEEKSKILL, CITY OF                   | CORPORATE DRIVE   | BRNFLD, LF-CAP (MSW), REME  | \$10,184,000     | \$10,184,000        |       | NO SPDES  | 72    |
| C3-7355-02-00  | YONKERS, CITY OF                     |   | CSO, SEW REPL, SEW SEP, STI | \$18,146,456     | \$18,146,456        |       | NY0026689 | 68    |
| C6-6058-02-00  | GOVERNEUR, VILLAGE OF                |   | CSO, SEW SEP                | \$3,564,000      | \$3,564,000         |       | NY0020117 | 64    |
| C5-5548-04-00  | GLENS FALLS, CITY OF                 | KNIGHT, STAPLE, WATER ST &                                | PS REPL, SEW REPL [KNIGHT/S | \$1,469,000      | \$1,469,000         |       | NY0029050 | 64    |
| C3-7299-01-00  | NEW PALTZ, VILLAGE OF                |   | I/I CORR                    | \$2,386,000      | \$2,386,000         |       | NY0030082 | 59    |
| C7-6240-11-00  | AUBURN, CITY OF                      | CITY OF AUBURN  | STP IMP                     | \$16,770,000     | \$16,770,000        |       | NY0021903 | 58    |
| C4-5442-08-00  | AMSTERDAM, CITY OF                   |   | SEW REPL                    | \$8,150,000      | \$8,150,000         | R     | NY0020290 | 58    |
| C1-5123-06-00  | RIVERHEAD, TOWN OF                   | CALVERTON SEWER DISTRICT                                  | PS, STP REPL                | \$7,572,000      | \$7,572,000         | R     | NY0025453 | 56    |
| C8-6433-05-00  | FARMINGTON, TOWN OF                  | TOWN OF FARMINGTON  | I/I CORR                    | \$1,305,000      | \$1,305,000         |       | NY0023531 | 56    |
| C3-5347-02-00  | PUTNAM COUNTY                        | PUTNAM COUNTY LANDFILL                                    | LF-RECLAIM                  | \$1,352,000      | \$1,352,000         |       | NO SPDES  | 56    |
| C3-5340-04-00  | SOUTHEAST, TOWN OF                   | SOUTHEAST LF  | LF-CAP (TITLE 5)            | \$5,353,000      | \$5,353,000         |       | NO SPDES  | 56    |
| C9-6630-02-00  | DUNKIRK, CITY OF                     | "Contingency Line"  | STP UP/EXP (REF)            | \$6,039,000      | \$6,039,000         |       | NY0027961 | 56    |
| C3-5381-32-00  | WESTCHESTER COUNTY                   | WEST LAKE SEWER REPAIRS                                   | SEW REHAB [(SYO-85)]        | \$2,037,000      | \$2,037,000         |       | NY0026689 | 54    |
| C7-6275-03-00  | CORTLAND, CITY OF                    | CITY OF CORTLAND  | STP IMP [PHASE 1]           | \$3,728,000      | \$3,728,000         |       | NY0027561 | 54    |
| C3-7312-02-00  | MARLBOROUGH, TOWN OF                 | MARLBORO WWTF   | STP UP [UV DISINF]          | \$500,000        | \$500,000           |       | NY0109720 | 51    |
| C9-6603-11-00  | NIAGARA FALLS PUBLIC WATER AUTHORITY | WWTP  | STP REHAB                   | \$4,300,000      | \$4,300,000         |       | NY0026336 | 51    |
| C8-6407-10-00  | ONTARIO, TOWN OF                     |   | LF-CAP (MSW)                | \$2,400,000      | \$2,400,000         |       | NO SPDES  | 51    |
| C1-5146-29-00  | NASSAU COUNTY                        | BAY PARK SD#2   | STP IMP [BAY PARK STP INTER | \$5,638,024      | \$5,638,024         |       | NY0026450 | 49    |
| C1-5146-24-00  | NASSAU COUNTY                        | BAY PARK, SD #2   | PS MOD, STP MOD [TRC (3B11  | \$14,200,000     | \$14,200,000        |       | NY0026450 | 49    |
| C1-5146-30-00  | NASSAU COUNTY                        | BAY PARK SD#2   | STP IMP [BAY PARK STP FINAL | \$19,245,856     | \$19,245,856        |       | NY0026450 | 49    |
| C3-5345-05-00  | ORANGETOWN, TOWN OF                  | ORANGETOWN SEWER DISTRI                                   | PS REHAB, SEW REHAB, STP R  | \$1,357,000      | \$1,357,000         |       | NY0026051 | 49    |
| C3-7354-15-00  | WESTCHESTER COUNTY                   | PEEKSKILL SD  | STP MOD/UP [RESID CHLOR (S  | \$5,748,000      | \$5,748,000         |       | NY0100803 | 49    |
| C3-7353-15-00  | WESTCHESTER COUNTY                   | OSSINING SD   | STP MOD [RESID CHLOR (SOS   | \$3,450,000      | \$3,450,000         |       | NY0108324 | 49    |
| C3-5344-05-00  | HAVERSTRAW JT REG SB                 | HAVERSTRAW MUNICIPALITIES                                 | STP (CHLOR. REHAB)          | \$1,457,000      | \$1,457,000         |       | NY0028533 | 49    |

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# 2012 FINAL CWSRF INTENDED USE PLAN

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(in descending order of score)

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|----------------|--------------------------------------|---|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C3-7308-09-00  | KIRYAS JOEL, VILLAGE OF              |   | PS IMP                        | \$579,000        | \$579,000           |       | NY0250520 | 49    |
| C3-7341-05-00  | WALDEN, VILLAGE OF                   |   | PS UP, STP UP                 | \$8,373,000      | \$8,373,000         |       | NY0030490 | 49    |
| C8-6450-03-00  | DANVILLE, VILLAGE OF                 |   | STP                           | \$19,465,000     | \$19,465,000        |       | NY0024384 | 49    |
| C1-5136-05-00  | SOUTHAMPTON, TOWN OF                 |   | NPS (319 LAND), NPS (320 LANI | \$15,276,000     | \$15,276,000        |       | NO SPDES  | 48    |
| C7-6330-05-00  | ONONDAGA COUNTY                      | ELECTRONIC PARK TRUNK SEV                             | SEW REHAB [SSO MITIGATION]    | \$10,520,000     | \$10,520,000        |       | NY0027081 | 48    |
| C9-6614-04-00  | OLEAN, CITY OF                       |   | STP IMP [WET STREAM PROCE     | \$9,800,000      | \$9,800,000         |       | NY0027162 | 48    |
| C9-6614-05-00  | OLEAN, CITY OF                       |   | STP IMP [SOLIDS HANDLING IM   | \$7,725,000      | \$7,725,000         |       | NY0027162 | 48    |
| C9-6614-06-00  | OLEAN, CITY OF                       |   | I/I CORR, SEW REPL [TWO MILE  | \$5,100,000      | \$5,100,000         |       | NY0027162 | 48    |
| C5-5559-05-00  | WASHINGTON COUNTY                    | SD #2   | CSO, STP IMP [SCADA, CATHEI   | \$9,461,000      | \$9,461,000         |       | NY0183695 | 48    |
| C5-5559-05-01  | WASHINGTON COUNTY                    | SD #2   | CSO, I/I CORR, PS UP, STP IMP | \$18,209,000     | \$18,209,000        |       | NY0183695 | 48    |
| C8-6801-01-00  | HORNELL, CITY OF                     |   | STP UP [NITROGEN AND PHOS     | \$6,660,000      | \$6,660,000         |       | NY0023647 | 48    |
| C3-5332-02-00  | WASHINGTONVILLE, VILLAGE OF          |   | STP UP/EXP                    | \$7,959,000      | \$7,959,000         |       | NY0023671 | 48    |
| C5-5516-05-00  | SARANAC LAKE, VILLAGE OF             | WOODRUFF STREET SIPHON & I/I CORR [SSO]               |                               | \$7,005,000      | \$7,005,000         |       | NY0021733 | 48    |
| C1-5165-12-00  | EAST HAMPTON, TOWN OF                | THREE MILE HARBOR MOBILE I STP REBUILD [SEPTIC SYSTEM |                               | \$517,000        | \$517,000           |       | NO SPDES  | 46    |
| C5-5577-03-00  | CHAZY, TOWN OF                       |   | SALT-STORE                    | \$480,000        | \$480,000           |       | NO SPDES  | 46    |
| C9-6603-10-00  | NIAGARA FALLS PUBLIC WATER AUTHORITY | FALLS STREET TUNNEL 47TH & I/I CORR                   |                               | \$7,550,000      | \$7,550,000         |       | NY0026336 | 46    |
| C6-6063-04-00  | OGDENSBURG, CITY OF                  | JUDSON ST   | SEW/SEP                       | \$3,463,000      | \$3,463,000         |       | NY0029831 | 46    |
| C3-5325-01-00  | WAPPINGERS FALLS, VILLAGE OF         |   | PS REHAB, SEW REHAB, STP R    | \$15,126,000     | \$15,126,000        |       | NY0149209 | 46    |
| C3-5346-04-00  | FALLSBURG, TOWN OF                   | SOUTH FALLSBURG WWTP                                  | STP UP/EXP                    | \$4,977,000      | \$4,977,000         |       | NY0024520 | 44    |
| C9-6688-01-00  | HAMBURG, VILLAGE OF                  | MINI-SYSTEMS 1,2,3A,3B,4 & 5                          | I/I CORR, SEW REHAB           | \$968,000        | \$968,000           |       | NY0095401 | 44    |
| C6-6066-02-00  | POTSDAM, VILLAGE OF                  |   | STP MOD                       | \$4,900,000      | \$4,900,000         |       | NY0020818 | 44    |
| C6-6066-03-00  | POTSDAM, VILLAGE OF                  |   | CSO                           | \$1,100,000      | \$1,100,000         |       | NY0020818 | 44    |
| C6-6066-04-00  | POTSDAM, VILLAGE OF                  | CROSS TOWN CANAL REHAB                                | SEW REPL                      | \$11,000,000     | \$11,000,000        |       | NY0020966 | 44    |
| C8-6402-06-00  | PENN YAN, VILLAGE OF                 | WATERFRONT  | SEW REPL, SEW SEP             | \$1,260,000      | \$1,260,000         |       | NY0029726 | 44    |
| C3-7395-01-00  | WESTCHESTER COUNTY                   | QUARRY HEIGHTS TRIBUTARY INT [SMO87/SUB-01]           |                               | \$3,310,000      | \$3,310,000         |       | NY0026701 | 43    |
| C7-6325-06-00  | ONONDAGA COUNTY                      | METRO WWTP  | PS IMP [METRO GRIT HANDLIN    | \$6,212,000      | \$6,212,000         |       | NY0027081 | 43    |
| C4-5418-04-00  | BETHLEHEM, TOWN OF                   | SLINGERLANDS  | FM, INT, PS MOD/EXP           | \$3,126,000      | \$3,126,000         |       | NY0025739 | 43    |
| C5-5559-07-00  | WASHINGTON COUNTY                    | SD #2   | SEW REPL, SEW SEP [FORT EI    | \$662,000        | \$662,000           |       | NY0183695 | 43    |
| C3-5398-03-00  | MONTICELLO, VILLAGE OF               |   | I/I CORR, STP IMP             | \$580,000        | \$580,000           |       | NY0022454 | 43    |
| C3-5351-02-00  | SAUGERTIES, VILLAGE OF               |   | SEW REHAB                     | \$1,774,700      | \$1,774,700         |       | NY0031208 | 43    |
| C3-5368-08-00  | ROCKLAND COUNTY                      | SD #1   | COLL, INT, SEW REPL [IMPROV   | \$6,835,500      | \$6,835,500         |       | NY0031895 | 41    |
| C9-6647-08-00  | ERIE COUNTY                          | SOUTHTOWNS STP / LACKAWA STP UP/EXP                   |                               | \$22,914,000     | \$22,914,000        |       | NY0095401 | 41    |
| C7-6387-03-00  | ITHACA, CITY OF                      | PHASE 2 COLL, HANCOCK ST, F SEW REPL                  |                               | \$754,000        | \$754,000           |       | NY0026638 | 41    |
| C7-6387-07-00  | ITHACA, CITY OF                      | PHASE 2 INT, STATE STREET                             | SEW REPL                      | \$754,000        | \$754,000           |       | NY0026638 | 41    |
| C9-6702-01-00  | FREDONIA, VILLAGE OF                 |   | STP REHAB                     | \$1,229,470      | \$1,229,470         |       | NY0026409 | 41    |
| C3-7354-12-00  | WESTCHESTER COUNTY                   | PEEKSKILL SD  | STP IMP [SPK-09 (WWTP BOILE   | \$3,881,000      | \$3,881,000         |       | NY0100803 | 39    |
| C3-5364-24-00  | WESTCHESTER COUNTY                   | NORTH YONKERS SSD                                     | PS UP [SPS-04 (ELECTRICAL S   | \$8,148,000      | \$8,148,000         |       | NY0026689 | 39    |
| C3-5364-25-00  | WESTCHESTER COUNTY                   | NORTH YONKERS SSD                                     | PS UP [SPS-05 (PS UPGRADES    | \$5,092,000      | \$5,092,000         |       | NY0026689 | 39    |
| C3-5381-38-00  | WESTCHESTER COUNTY                   | YONKERS SD  | STP IMP [SYO-27 (PRIMARY DIC  | \$4,838,000      | \$4,838,000         |       | NY0026689 | 39    |

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(in descending order of score)

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|----------------|---------------------------------|-------------------------------|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C3-5381-41-00  | WESTCHESTER COUNTY              | YONKERS SD                    | STP REHAB [SYO-21 (DEWATER)]  | \$3,718,000      | \$3,718,000         |       | NY0026689 | 39    |
| C3-5344-08-00  | HAVERSTRAW JT. REG SB           | HAVERSTRAW MUNICIPALITIES     | STP REHAB [REPLACE BAR SC]    | \$1,040,900      | \$1,040,900         |       | NY0026533 | 39    |
| C3-7354-14-00  | WESTCHESTER COUNTY              | PEEKSKILL SD                  | PS REHAB [SPK-74 (MILL ST PS] | \$5,194,000      | \$5,194,000         |       | NY0100803 | 39    |
| C3-7353-07-00  | WESTCHESTER COUNTY              | OSSINING SD                   | PS REHAB [KEMEY'S COVE PS]    | \$2,333,000      | \$2,333,000         |       | NY0108324 | 39    |
| C3-7353-10-00  | WESTCHESTER COUNTY              | OSSINING SD                   | PS IMP [MONITORING (SOS-15)]  | \$148,000        | \$148,000           |       | NY0108324 | 39    |
| C3-7353-19-00  | WESTCHESTER COUNTY              | OSSINING SD                   | STP REHAB/EXP [PERFORMAN]     | \$8,148,000      | \$8,148,000         |       | NY0108324 | 39    |
| C3-5318-02-00  | WALLKILL, TOWN OF               |                               | COLL, SEW REHAB               | \$900,000        | \$900,000           |       | NY0024422 | 39    |
| C9-6688-02-00  | HAMBURG, VILLAGE OF             | SOUTH BUFFALO PS RELOCAT      | PS REBUILD/EXP                | \$811,000        | \$811,000           |       | NY0095401 | 39    |
| C3-7345-02-00  | CRAWFORD, TOWN OF               | PINE BUSH                     | STP UP/EXP                    | \$2,597,400      | \$2,597,400         |       | NY0110019 | 39    |
| C3-5358-01-00  | OSSINING, TOWN OF               | OSSINING - STONEGATE RD       | PS [ELIMINATION (GRAV REPL)]  | \$510,000        | \$510,000           |       | NY0108324 | 39    |
| C3-5358-02-00  | OSSINING, TOWN OF               | OSSINING - STORMYTOWN RD      | PS [ELIMINATION (GRAV REPL)]  | \$1,697,400      | \$1,697,400         |       | NY0108324 | 39    |
| C1-5125-03-00  | HEMPSTEAD, TOWN OF              | GREATER ATLANTIC BEACH W/     | STP IMP [PHASE II]            | \$3,625,000      | \$3,625,000         |       | NY0023523 | 38    |
| C1-5120-05-00  | SUFFOLK COUNTY                  | SW SD #3, BERGEN PT           | OS REHAB [CP8108]             | \$203,180,000    | \$203,180,000       |       | NY0104809 | 38    |
| C1-5120-06-00  | SUFFOLK COUNTY                  | SW SD #3, BERGEN PT           | STP UP [(UV SYSTEM) (CP8132]  | \$15,276,000     | \$15,276,000        |       | NY0104809 | 38    |
| C1-9012-04-00  | SUFFOLK COUNTY                  | SW SD #3 (BERGEN PT WWTP)     | STP EXP [(ADD 10 MGD)]        | \$81,472,000     | \$81,472,000        |       | NY0104809 | 38    |
| C1-7370-01-00  | PATCHOGUE, VILLAGE OF           | VILLAGE SD                    | PS UP [E. MAIN STREET PS, FM] | \$2,900,000      | \$2,900,000         |       | NY0023922 | 38    |
| C1-7370-01-01  | PATCHOGUE, VILLAGE OF           | VILLAGE SD                    | PS REPL [SOUTH OCEAN PS]      | \$1,311,000      | \$1,311,000         |       | NY0023922 | 38    |
| C1-5110-03-00  | SOUTHOLD, TOWN OF               |                               | NPS (319 LAND), NPS (320 LANI | \$10,184,000     | \$10,184,000        |       | NO SPDES  | 38    |
| C4-5463-03-00  | ALBANY COUNTY AIRPORT AUTHORITY | ALBANY COUNTY AIRPORT         | NPS, STMSEW [DE-ICING STM]    | \$4,985,000      | \$4,985,000         |       | NO SPDES  | 38    |
| C4-5444-02-00  | COEYMANS, TOWN OF               |                               | STP IMP                       | \$893,000        | \$893,000           |       | NY0022772 | 38    |
| C8-6803-01-00  | PARMA, TOWN OF                  | PARMA-HILTON COMMUNITY JC     | SALT-STOR [PARMA-HILTON JC    | \$605,000        | \$605,000           |       | NO SPDES  | 36    |
| C1-5139-01-00  | SUFFOLK COUNTY                  | YAPHANK COUNTY CENTER W/      | STP IMP [CP8158]              | \$3,218,000      | \$3,218,000         |       | NY0085693 | 36    |
| C7-6396-02-00  | TOMPKINS COUNTY                 | TOWN OF DRYDEN                | LF-LCH                        | \$242,000        | \$242,000           |       | NY0026638 | 36    |
| C9-6647-06-00  | ERIE COUNTY                     | SOUTHTOWNS STP                | STP [OUTFALL SEWER IMP]       | \$4,583,000      | \$4,583,000         |       | NY0095401 | 36    |
| C3-5397-04-00  | SULLIVAN COUNTY                 | PHASE I (CAP CELLS 3,4&5) & G | LF-CAP (MSW), LF-LCH          | \$6,181,219      | \$6,181,219         |       | NO SPDES  | 36    |
| C3-5397-05-00  | SULLIVAN COUNTY                 | CELL 6                        | LF-LCH                        | \$7,011,642      | \$7,011,642         |       | NO SPDES  | 36    |
| C9-6699-07-00  | ERIE COUNTY                     | SD #4 - DEPEW PS AND VANDE    | PS IMP                        | \$3,564,000      | \$3,564,000         |       | NY0110698 | 36    |
| C9-6699-09-00  | ERIE COUNTY                     | SD #4 AURORA SUB-TRUNK        | INT [PS DECOMMISSION]         | \$4,302,000      | \$4,302,000         |       | NY0028410 | 36    |
| C9-6663-11-00  | NIAGARA COUNTY                  | SD#1 TREATMENT PLANT          | STP MOD [GRIT SYSTEM UPGR     | \$3,540,000      | \$3,540,000         |       | NY0027979 | 36    |
| C3-7323-01-00  | POUGHKEEPSIE, TOWN OF           | ARLINGTON STP                 | STP EXP, STP UP               | \$17,400,000     | \$17,400,000        |       | NY0026271 | 36    |
| C7-6387-04-00  | ITHACA, CITY OF                 | PHASE 3 COLL, STEWART & UN    | SEW REPL                      | \$754,000        | \$754,000           |       | NY0026638 | 36    |
| C7-6387-05-00  | ITHACA, CITY OF                 | PHASE 4 COLL                  | SEW REPL                      | \$754,000        | \$754,000           |       | NY0026638 | 36    |
| C7-6387-06-00  | ITHACA, CITY OF                 | PHASE 5 COLL                  | SEW REPL                      | \$754,000        | \$754,000           |       | NY0026638 | 36    |
| C7-6387-08-00  | ITHACA, CITY OF                 | PHASE 3 INT, HECTOR ST TRUN   | SEW REPL                      | \$754,000        | \$754,000           |       | NY0026638 | 36    |
| C7-6387-09-00  | ITHACA, CITY OF                 | PHASE 4 INT, FLORAL AVE       | SEW REPL                      | \$754,000        | \$754,000           |       | NY0026638 | 36    |
| C7-6387-10-00  | ITHACA, CITY OF                 | PHASE 5 INT, SW PARK AREA     | SEW REPL                      | \$754,000        | \$754,000           |       | NY0026638 | 36    |
| C9-6628-05-00  | CHAUTAUQUA COUNTY               | SCCLSD                        | STP REHAB                     | \$2,700,000      | \$2,700,000         |       | NY0106895 | 36    |
| C8-6511-01-00  | BROCKPORT, VILLAGE OF           |                               | SEW REPL                      | \$2,600,000      | \$2,600,000         |       | NY0028231 | 36    |
| C3-7393-04-00  | WESTCHESTER COUNTY              | HUTCHINSON PUMP STATION       | PS REHAB [(SHO-75) HUTCHIN    | \$4,991,000      | \$4,991,000         |       | NY0026689 | 34    |

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(in descending order of score)

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|----------------|--------------------------|----------------------------|------------------------------|------------------|---------------------|-------|-----------|-------|
| C3-7398-20-00  | WESTCHESTER COUNTY       | BRONX VALLEY SSD           | FM, FM REHAB [SBV-20 (SPRAI  | \$1,834,000      | \$1,834,000         |       | NY0026689 | 34    |
| C3-5364-28-00  | WESTCHESTER COUNTY       | NORTH YONKERS SSD          | PS MOD [SPS-08 (SURGE CHAM   | \$3,565,000      | \$3,565,000         |       | NY0026689 | 34    |
| C3-5364-30-00  | WESTCHESTER COUNTY       | NORTH YONKERS SSD          | SEW REHAB [HASTINGS FORCI    | \$627,000        | \$627,000           |       | NY0026689 | 34    |
| C3-5381-26-00  | WESTCHESTER COUNTY       | YONKERS SD                 | FM REPL [SYO-20 (TARRYTOWI   | \$10,550,000     | \$10,550,000        |       | NY0026689 | 34    |
| C3-5381-33-00  | WESTCHESTER COUNTY       | YONKERS SD                 | STP REHAB [HVAC (SYO-09) DE  | \$9,635,000      | \$9,635,000         |       | NY0026689 | 34    |
| C3-5381-33-01  | WESTCHESTER COUNTY       | YONKERS SD                 | STP REHAB [HVAC (SYO-09) PI- | \$8,489,000      | \$8,489,000         |       | NY0026689 | 34    |
| C3-5381-33-02  | WESTCHESTER COUNTY       | YONKERS SD                 | STP REHAB [HVAC (SYO-09) PI- | \$7,851,000      | \$7,851,000         |       | NY0026689 | 34    |
| C3-5381-34-00  | WESTCHESTER COUNTY       | YONKERS SD                 | STP MOD [SYO-14 (EMERGENC    | \$10,083,000     | \$10,083,000        |       | NY0026689 | 34    |
| C3-5381-36-00  | WESTCHESTER COUNTY       | YONKERS SD                 | STP IMP [SYO-16 (PLANT WATE  | \$1,956,000      | \$1,956,000         |       | NY0026689 | 34    |
| C3-5381-39-00  | WESTCHESTER COUNTY       | YONKERS SD                 | STP UP [CHLORINE CONTACT     | \$3,699,000      | \$3,699,000         |       | NY0026689 | 34    |
| C3-5368-07-00  | ROCKLAND COUNTY          | SD #1                      | COLL, FM, INT, PS, SEW REHAB | \$10,000,000     | \$10,000,000        |       | NY0031895 | 34    |
| C3-5379-03-00  | MT. PLEASANT, TOWN OF    |                            | SEW REHAB, STMSEW            | \$1,500,000      | \$1,500,000         |       | NY0026689 | 34    |
| C3-7354-11-00  | WESTCHESTER COUNTY       | PEEKSKILL SD               | PS IMP [SPK-08 (HIGHLAND AVI | \$3,055,000      | \$3,055,000         |       | NY0100803 | 34    |
| C3-7354-13-00  | WESTCHESTER COUNTY       | PEEKSKILL SD               | STP MOD/UP [SPK-03 (ELECTRI  | \$6,213,000      | \$6,213,000         |       | NY0100803 | 34    |
| C3-7354-20-00  | WESTCHESTER COUNTY       | PEEKSKILL SD               | FM, FM REHAB [SPK-20 (WATEI  | \$5,805,000      | \$5,805,000         |       | NY0100803 | 34    |
| C3-7353-13-00  | WESTCHESTER COUNTY       | OSSINING SD                | STP IMP [AERIAL CABLE REPLA  | \$2,750,000      | \$2,750,000         |       | NY0108324 | 34    |
| C3-5344-09-00  | HAVERSTRAW JT REG SB     | HAVERSTRAW MUNICIPALITIES  | STP, STP REHAB [DIGESTER, B  | \$16,804,000     | \$16,804,000        |       | NY0028533 | 34    |
| C3-7308-05-00  | KIRYAS JOEL, VILLAGE OF  |                            | STP REHAB [RBC REPLACEMENT   | \$5,391,000      | \$5,391,000         |       | NY0250520 | 34    |
| C3-7308-07-00  | KIRYAS JOEL, VILLAGE OF  |                            | STP MOD/UP [EQ TANK]         | \$5,166,000      | \$5,166,000         |       | NY0250520 | 34    |
| C3-7308-08-00  | KIRYAS JOEL, VILLAGE OF  |                            | STP MOD/UP [PRETREATMENT     | \$3,003,000      | \$3,003,000         |       | NY0250520 | 34    |
| C3-7308-10-00  | KIRYAS JOEL, VILLAGE OF  |                            | STP IMP [BELT FILTER PRESS]  | \$1,039,000      | \$1,039,000         |       | NY0250520 | 34    |
| C6-6296-01-00  | SYLVAN BEACH, VILLAGE OF | SYLVAN BEACH, VIENNA, VERC | I/I CORR, STP IMP            | \$6,212,000      | \$6,212,000         |       | NY0036790 | 34    |
| C7-6397-11-00  | FULTON, CITY OF          | SOUTHWEST PUMP STATION A   | PS IMP, STP IMP              | \$4,354,000      | \$4,354,000         |       | NY0026301 | 34    |
| C6-6080-04-00  | MASSENA, VILLAGE OF      | NYS ROUTE 37               | INT [REPLACEMENT]            | \$1,100,000      | \$1,100,000         |       | NY0031194 | 34    |
| C3-5370-01-00  | LIBERTY, TOWN OF         | SWAN LAKE                  | STP EXP                      | \$8,351,000      | \$8,351,000         |       | NY0030252 | 34    |
| C3-5396-02-00  | PORT JERVIS, CITY OF     |                            | PS REHAB [BEACH ROAD]        | \$1,222,080      | \$1,222,080         |       | NY0026522 | 34    |
| C9-6641-01-00  | HANOVER, TOWN OF         | HANFORD BAY & SUNSET BAY   | STP MOD/UP                   | \$4,678,000      | \$4,678,000         |       | NY0105104 | 34    |
| C6-6103-01-00  | HERKIMER, VILLAGE OF     |                            | STP REHAB [GRIT COLLECTOR    | \$1,700,000      | \$1,700,000         |       | NY0020486 | 34    |
| C6-6103-02-00  | HERKIMER, VILLAGE OF     |                            | I/I CORR, SEW REHAB [LINING  | \$1,350,000      | \$1,350,000         |       | NY0020486 | 34    |
| C5-5520-07-00  | TICONDEROGA, TOWN OF     | WWTP SD #5 (STAGE 2)       | SEW REPL, STP MOD            | \$8,656,000      | \$8,656,000         |       | NY0036706 | 34    |
| C3-5327-02-00  | LA GRANGE, TOWN OF       | TITUSVILLE SEWER DISTRICT  | STP EXP                      | \$7,710,000      | \$7,710,000         |       | NY0026093 | 34    |
| C3-7346-01-00  | MONTGOMERY, VILLAGE OF   |                            | STP UP/EXP                   | \$6,854,000      | \$6,854,000         |       | NY0026433 | 34    |
| C3-7356-02-00  | BETHEL, TOWN OF          | KAUNEONGA LAKE SEWER DIS   | PS REPL, SEW REPL            | \$2,426,486      | \$2,426,486         |       | NY0099368 | 34    |
| C3-7356-04-00  | BETHEL, TOWN OF          | KAUNEONGA LAKE SEWER DIS   | STP MOD [SEPTAGE RECEIVIN    | \$565,585        | \$565,585           |       | NY0099368 | 34    |
| C4-5423-01-00  | MONTGOMERY COUNTY        | MONTGOMERY CO. SEWER DIS   | COLL, PS IMP, STP IMP        | \$3,331,000      | \$3,331,000         |       | NY0107565 | 34    |
| C3-7313-01-00  | HURLEY, TOWN OF          | TOWN OF HURLEY LANDFILL    | LF-LCH                       | \$559,000        | \$559,000           |       | NEW SPDES | 33    |
| C9-6663-08-00  | NIAGARA COUNTY           | SD#1-TONAWANDA CREEK STA   | FM [STREAM BANK SLOPE STA    | \$870,000        | \$870,000           |       | NY0027979 | 33    |
| C8-6502-03-00  | BATAVIA, CITY OF         | VARIOUS                    | SEW REHAB, STP IMP           | \$2,538,000      | \$2,538,000         |       | NY0026514 | 33    |
| C9-6614-07-00  | OLEAN, CITY OF           |                            | STP IMP [ENERGY PERFORMAI    | \$1,700,000      | \$1,700,000         |       | NY0027162 | 33    |

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|----------------|-------------------------------------|----------------------------|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C7-6310-03-00  | SOLVAY, VILLAGE OF                  | COGSWELL AVENUE            | SEW REHAB                     | \$2,550,000      | \$2,550,000         |       | NY0027081 | 33    |
| C3-7307-06-00  | NEW WINDSOR, TOWN OF                | SEWER DISTRICT #16         | PS MOD/EXP (PUMP STATION #    | \$967,000        | \$967,000           |       | NY0022446 | 33    |
| C5-5545-01-00  | HARRIETSTOWN, TOWN OF               |                            | I/I CORR [SSO]                | \$575,000        | \$575,000           |       | NY0021733 | 33    |
| C4-7403-06-00  | SAND LAKE, TOWN OF                  | GUNDRUM POINT ON BURDEN    | SEW REHAB, SEW REPL           | \$539,000        | \$539,000           |       | NY0087971 | 33    |
| C5-5578-04-00  | MECHANICVILLE, CITY OF              | TERMINAL AND FERRY STREET  | PS REHAB, PS REPL             | \$379,000        | \$379,000           |       | NY0028240 | 33    |
| C8-6422-03-00  | WATERLOO, VILLAGE OF                |                            | I/I CORR, STP IMP             | \$6,500,000      | \$6,500,000         |       | NY0022365 | 33    |
| C9-6659-13-00  | LOCKPORT, CITY OF                   |                            | STP IMP (FILTER PRESS REHA    | \$550,000        | \$550,000           |       | NY0027057 | 32    |
| C8-6299-01-00  | MADISON COUNTY                      | MADISON COUNTY             | LF-LCH [(COLLECTION SYSTEM    | \$3,375,000      | \$3,375,000         |       | NO SPDES  | 31    |
| C3-7330-04-00  | FISHKILL, TOWN OF                   | ROMBOUT SD                 | COLL, FM, INT, PS, STP        | \$12,886,000     | \$12,886,000        |       | NY0060976 | 31    |
| C9-6654-06-00  | GRAND ISLAND, TOWN OF               |                            | STP IMP                       | \$1,866,000      | \$1,866,000         |       | NY0027693 | 31    |
| C1-9009-01-02  | SUFFOLK COUNTY                      | SD #18 HAUPPAUGE INDUSTRI  | FM, INT, PS, STP EXP [CP8126- | \$77,417,000     | \$77,417,000        |       | NY0136964 | 31    |
| C3-5376-02-00  | ROCKLAND COUNTY SOLID W. MGMT AUTH. |                            | COMP [CO-COMPOSTING FACII     | \$4,000,000      | \$4,000,000         |       | NY0031895 | 31    |
| C1-5154-07-00  | BROOKHAVEN, TOWN OF                 | LAND ACQUISITION           | NPS (319 LAND) [LAND ACQUIS   | \$56,689,349     | \$56,689,349        |       | NO SPDES  | 31    |
| C3-5363-13-00  | WESTCHESTER COUNTY                  | MAMARONECK SD              | SEW REHAB [WWTP PERFORM       | \$3,819,000      | \$3,819,000         |       | NY0026701 | 29    |
| C3-5362-11-00  | WESTCHESTER COUNTY                  | NEW ROCHELLE SD            | PS REHAB [(BEACH AVE) - SNR   | \$1,528,000      | \$1,528,000         |       | NY0026697 | 29    |
| C3-5362-12-00  | WESTCHESTER COUNTY                  | NEW ROCHELLE SD            | PS REHAB [FLINT AVE AND CIR   | \$6,009,000      | \$6,009,000         |       | NY0026697 | 29    |
| C3-5362-17-00  | WESTCHESTER COUNTY                  | NEW ROCHELLE SD            | PS REHAB [GLEN ISLAND - AD    | \$1,569,000      | \$1,569,000         |       | NY0026697 | 29    |
| C1-5149-26-00  | NASSAU COUNTY                       | CEDAR CREEK SD#3           | STP IMP [CEDAR CREEK WPCF     | \$22,390,797     | \$22,390,797        |       | NY0026859 | 28    |
| C1-5120-01-00  | SUFFOLK COUNTY                      | SW SD #3, BERGEN PT        | STP MOD [SLUDGE TREATMEN      | \$72,088,000     | \$72,088,000        |       | NY0104809 | 28    |
| C1-5120-04-00  | SUFFOLK COUNTY                      | SW SD #3, BERGEN PT        | STP MOD [GRIT PROJECT/INFR    | \$53,619,000     | \$53,619,000        |       | NY0104809 | 28    |
| C1-5120-07-00  | SUFFOLK COUNTY                      | SD #3, SOUTHWEST           | SEW REPL [KIME AVENUE INTE    | \$1,198,000      | \$1,198,000         |       | NY0104809 | 28    |
| C6-6026-05-01  | DEV. AUTH. OF THE NORTH COUNTRY     | PHASE II                   | INT [24" GRAVITY SEWER]       | \$7,522,000      | \$7,522,000         |       | NY0025984 | 26    |
| C3-5315-04-00  | MIDDLETOWN, CITY OF                 | ERIE WAY/ RAILROAD YARD    | REMEDI [REMOVAL OF CONTAM     | \$1,499,000      | \$1,499,000         |       | NO SPDES  | 26    |
| C4-7403-05-00  | SAND LAKE, TOWN OF                  | REICHARDS LAKE             | COLL                          | \$619,000        | \$619,000           |       | NY0087971 | 26    |
| C1-5140-01-00  | SUFFOLK COUNTY                      | MASTIC/SHIRLEY/MASTIC BEAC | COLL, FM, PS, STP             | \$35,644,000     | \$35,644,000        |       | NEW SPDES | 26    |
| C9-6602-14-00  | BUFFALO SEWER AUTHORITY             | CAZENOVIA CREEK STORMWA    | NPS [STORM WATER TREATME      | \$5,100,000      | \$5,100,000         |       | NY0028410 | 24    |
| C3-5362-20-00  | WESTCHESTER COUNTY                  | NEW ROCHELLE SD & MAMARC   | FM REPL [TWIN 8" SLUDGE FM    | \$6,111,000      | \$6,111,000         |       | NY0026697 | 24    |
| C3-5363-22-00  | WESTCHESTER COUNTY                  | MAMARONECK SD              | PS REHAB [EAST BASIN PS (SM   | \$2,852,000      | \$2,852,000         |       | NY0026701 | 24    |
| C3-5362-22-00  | WESTCHESTER COUNTY                  | NEW ROCHELLE SD            | PS REHAB [WOODBINE & MAGI     | \$3,585,000      | \$3,585,000         |       | NY0026697 | 24    |
| C1-5153-15-00  | NORTH HEMPSTEAD, TOWN OF            | PORT WASHINGTON WPCD       | COLL, PS UP [COLLECTION SY    | \$1,865,000      | \$1,865,000         |       | NY0026778 | 24    |
| C1-5100-07-00  | NORTH HEMPSTEAD, TOWN OF            | BELGRAVE WPCD              | OS REPL, STP MOD              | \$9,008,000      | \$9,008,000         |       | NY0026841 | 24    |
| C8-6444-01-01  | SCOTTSVILLE, VILLAGE OF             | VILLAGE OF SCOTTSVILLE, TO | FM, PS                        | \$5,000,000      | \$5,000,000         |       | NY0020133 | 24    |
| C1-5123-03-00  | RIVERHEAD, TOWN OF                  | RIVERHEAD LF               | LF-CAP (TITLE 5), LF-RECLAIM  | \$13,221,000     | \$13,221,000        |       | NO SPDES  | 23    |
| C5-5569-04-01  | SARATOGA COUNTY                     | SEWER DISTRICT NO. 1       | INT, REHAB [INTERCEPTOR RE    | \$1,750,000      | \$1,750,000         |       | NY0028240 | 23    |
| C5-5569-04-02  | SARATOGA COUNTY                     | SEWER DISTRICT NO. 1       | INT, REHAB [INTERCEPTOR RE    | \$1,500,000      | \$1,500,000         |       | NY0028240 | 23    |
| C5-5569-04-03  | SARATOGA COUNTY                     | SEWER DISTRICT NO. 1       | INT, REHAB [INTERCEPTOR RE    | \$1,650,000      | \$1,650,000         |       | NY0028240 | 23    |
| C5-5598-03-00  | HALFMOON, TOWN OF                   | WATER TREATMENT PLANT      | WTP MOD [SLUDGE DRYING BE     | \$2,925,000      | \$2,925,000         |       | NO SPDES  | 23    |
| C8-6488-01-00  | EAST ROCHESTER, VILLAGE OF          | VILLAGE OF EAST ROCHESTER  | SEW REPL [PHASE I]            | \$2,103,000      | \$2,103,000         |       | NY0028339 | 23    |
| C7-6317-01-00  | FAYETTEVILLE, VILLAGE OF            | SIGNAL HILL                | COLL [PS DECOMMISSIONING]     | \$447,000        | \$447,000           |       | NO SPDES  | 23    |

**NOTES:** E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS)

F Indicates the financing is anticipated to close by the end of the 2011 IUP period.

R Projects considered fundable in order to meet requirement for regional distribution of funds.

2012 FINAL CWSRF INTENDED USE PLAN  
Annual CWSRF Project Priority List  
Project Category: B  
(in descending order of score)

| Project Number | Applicant Name                                | Service Area               | Project Description         | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|---|----------------------------|-----------------------------|------------------|---------------------|-------|-----------|-------|
| C8-6440-06-00  | GREECE, TOWN OF                               | SEWER EXT 532-7            | COLL                        | \$240,000        | \$240,000           |       | NO SPDES  | 21    |
| C8-6440-07-00  | GREECE, TOWN OF                               | SEWER EXT 532-2            | COLL                        | \$372,000        | \$372,000           |       | NO SPDES  | 21    |
| C7-6348-02-00  | VOLNEY, TOWN OF                               | ROUTE 3/ROUTE 176 SEWER DI | COLL, FM, LF-LCH, PS        | \$7,830,000      | \$7,830,000         |       | NY0029114 | 18    |
| C3-5364-16-00  | WESTCHESTER COUNTY                            | NORTH YONKERS SD           | PS REHAB [ODOR CONTROL (S   | \$2,241,000      | \$2,241,000         |       | NY0026689 | 16    |
| C3-5364-27-00  | WESTCHESTER COUNTY                            | NORTH YONKERS SSD          | PS IMP [SPS-07 (ALEXANDER S | \$2,597,000      | \$2,597,000         |       | NY0026689 | 14    |
| C3-7354-06-00  | WESTCHESTER COUNTY                            | PEEKSKILL SD               | STP MOD [ODOR CONTROL (SF   | \$6,111,000      | \$6,111,000         |       | NY0100803 | 11    |
| C3-7308-06-00  | KIRYAS JOEL, VILLAGE OF                       |                            | STP MOD [ODOR CONTROL]      | \$2,552,000      | \$2,552,000         |       | NY0250520 | 1     |
| C1-5156-01-00  | NASSAU COUNTY SEWER AND STORM WATER AUTHORITY |                            | STP [ACQUISITION]           | \$155,601,000    | \$155,601,000       |       | NO SPDES  | 0     |

Category B Subtotal: \$2,391,300,668  
Total Number of Projects: 281

F Projects \$ / #: \$32,299,309 / 8

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R Projects considered fundable in order to meet requirement for regional distribution of funds.

**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: C**  
(in descending order of score)

| Project Number | Applicant Name | Service Area     | Project Description            | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|----------------|------------------|--------------------------------|------------------|---------------------|-------|-----------|-------|
| C2-5217-01-16  | NYCMWFA        | FLUSHING BAY     | CSO [CSO-FB ABATEMENT (EN      | \$4,311,384      | \$4,311,384         | E     | NY0026239 | 2154  |
| C2-5217-03-09  | NYCMWFA        | FLUSHING BAY     | CSO [FB-CS4-4/5 CONSTRUCT      | \$40,937,839     | \$40,937,839        | E     | NY0026239 | 2154  |
| C2-5240-03-06  | NYCMWFA        | CITY-WIDE PLANTS | STP REHAB [PO-55A]             | \$4,860,567      | \$4,860,567         |       | NO SPDES  | 2147  |
| C2-5219-01-16  | NYCMWFA        | PAERDEGAT BASIN  | CSO [CSO-PAER-4A & DESIGN      | \$9,977,389      | \$9,977,389         | E     | NY0026182 | 2136  |
| C2-5219-02-06  | NYCMWFA        | PAERDEGAT BASIN  | CSO [CSO-PAER-4B FOUNDAT       | \$13,779,326     | \$13,779,326        | E     | NY0026182 | 2136  |
| C2-5219-03-04  | NYCMWFA        | PAERDEGAT BASIN  | CSO [CSO-PAER-5 STRUCTUR       | \$26,059,928     | \$26,059,928        |       | NY0026182 | 2136  |
| C2-5243-02-05  | NYCMWFA        | EAST RIVER       | CSO [ER-AC1 ALLEY CREEK-ST     | \$15,607,482     | \$15,607,482        |       | NY0026239 | 2136  |
| C2-5205-01-12  | NYCMWFA        | JAMAICA          | STP UP [JA-STAB II/1CM A/E, DE | \$26,980,616     | \$26,980,616        |       | NY0026115 | 2132  |
| C2-5205-02-13  | NYCMWFA        | JAMAICA          | STP UP [JA-STAB 1 (INTERIM)]   | \$13,319,981     | \$13,319,981        |       | NY0026115 | 2132  |
| C2-5243-06-00  | NYCMWFA        | EAST RIVER       | CSO [ER-AC3 ALLEY CREEK-ST     | \$38,541,517     | \$38,541,517        |       | NY0026239 | 2131  |
| C2-5201-01-16  | NYCMWFA        | WARDS ISLAND     | STP INTERIM EXP (ENGINEERII    | \$9,437,660      | \$9,437,660         | E     | NY0026131 | 2129  |
| C2-5201-20-08  | NYCMWFA        | WARDS ISLAND     | STP UP [WI-78 PH 2-BRONX & N   | \$46,115,912     | \$46,115,912        |       | NY0026131 | 2129  |
| C2-5202-01-07  | NYCMWFA        | HUNTS POINT      | STP UP [HP-STAB1]              | \$72,429,039     | \$72,429,039        |       | NY0026191 | 2129  |
| C2-5202-02-06  | NYCMWFA        | HUNTS POINT      | STP UP [HP-2]                  | \$58,089,000     | \$58,089,000        |       | NY0026191 | 2129  |
| C2-5203-01-07  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-STAB/BB-PH1 - IN1  | \$48,188,338     | \$48,188,338        |       | NY0026158 | 2129  |
| C2-5203-02-10  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-57 - INTERIM/STAE  | \$19,844,955     | \$19,844,955        |       | NY0026158 | 2129  |
| C2-5203-06-12  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-145/164/166/171/17 | \$418,126        | \$418,126           |       | NY0026158 | 2129  |
| C2-5209-23-11  | NYCMWFA        | NEWTOWN CREEK    | STP UP [WPCP (PHASE 1A- NC     | \$24,377,526     | \$24,377,526        |       | NY0026204 | 2129  |
| C2-5209-31-03  | NYCMWFA        | NEWTOWN CREEK    | STP UP [PH 1B(NC-36: MAIN BLI  | \$135,649,075    | \$135,649,075       |       | NY0026204 | 2129  |
| C2-5209-32-05  | NYCMWFA        | NEWTOWN CREEK    | STP UP [PH 1B(NC-40:MANHAT     | \$46,326,396     | \$46,326,396        |       | NY0026204 | 2129  |
| C2-5209-43-03  | NYCMWFA        | NEWTOWN CREEK    | STP UP [ PHASE 2 NC-41F: RES   | \$30,131,696     | \$30,131,696        |       | NY0026204 | 2129  |
| C2-5206-02-05  | NYCMWFA        | 26TH WARD        | STP UP [26W-1G]                | \$155,252        | \$155,252           |       | NY0026212 | 2124  |
| C2-5209-02-12  | NYCMWFA        | NEWTOWN CREEK    | STP UP [A/E AGREEMENT, PLA     | \$85,136,551     | \$85,136,551        | E     | NY0026204 | 2124  |
| C2-5209-03-13  | NYCMWFA        | "Subsidy Line"   | STP UP [PHASE I - CM - NC27-1  | \$17,208,391     | \$17,208,391        |       | NY0026204 | 2124  |
| C2-5209-05-04  | NYCMWFA        | NEWTOWN CREEK    | STP UP [NC WPCP - PH. 2 & PH   | \$64,510,959     | \$64,510,959        |       | NY0026204 | 2124  |
| C2-5209-20-06  | NYCMWFA        | NEWTOWN CREEK    | STP UP [WPCP (PHASE 1A-NC      | \$1,446,606      | \$1,446,606         | E     | NY0026204 | 2124  |
| C2-5209-24-12  | NYCMWFA        | NEWTOWN CREEK    | STP UP [WPCP (PHASE 1A- NC     | \$34,872,467     | \$34,872,467        | E     | NY0026204 | 2124  |
| C2-5209-25-11  | NYCMWFA        | NEWTOWN CREEK    | STP UP [WPCP (PHASE 1A- NC     | \$13,539,859     | \$13,539,859        | E     | NY0026204 | 2124  |
| C2-5209-30-06  | NYCMWFA        | NEWTOWN CREEK    | STP UP [ PH. 1B-NC 35:NORTH    | \$191,337,664    | \$191,337,664       | E     | NY0026204 | 2124  |
| C2-5209-40-00  | NYCMWFA        | NEWTOWN CREEK    | STP UP [PH 2(NC-41: RESIDUAL   | \$252,026,371    | \$252,026,371       | E     | NY0026204 | 2124  |
| C2-5209-50-00  | NYCMWFA        | NEWTOWN CREEK    | STP UP [PH. 3(NC-47: SOUTH B   | \$671,559,574    | \$671,559,574       | E     | NY0026204 | 2124  |
| C2-5215-03-19  | NYCMWFA        | NEWTOWN CREEK    | STP [INTERIM UP 5,6,9,10,13+D  | \$1,012,857      | \$1,012,857         |       | NY0026204 | 2124  |
| C2-5215-06-09  | NYCMWFA        | NEWTOWN CREEK    | STP (INTERIM UP PHASE VI)      | \$76,302         | \$76,302            |       | NY0026204 | 2124  |
| C2-5215-15-07  | NYCMWFA        | NEWTOWN CREEK    | STP [INTERIM UP NC-105 EG,E    | \$1,765,797      | \$1,765,797         |       | NY0026204 | 2124  |
| C2-5235-01-05  | NYCMWFA        | SPRING CREEK     | CSO [SC-1 TANK REBUILD]        | \$29,039,940     | \$29,039,940        |       | NY0026212 | 2124  |
| C2-5201-21-00  | NYCMWFA        | WARDS ISLAND     | STP UP [WI-74]                 | \$31,080,153     | \$31,080,153        |       | NY0026131 | 2119  |
| C2-5209-34-00  | NYCMWFA        | NEWTOWN CREEK    | STP UP [PHASE 3 NC-51: MAIN    | \$52,690,000     | \$52,690,000        | E     | NY0026204 | 2119  |
| C2-5245-01-06  | NYCMWFA        | INNER HARBOR     | CSO [CSO-IH-11M/K FIXED ORII   | \$5,160,886      | \$5,160,886         |       | VARIOUS   | 2112  |
| C2-5219-05-00  | NYCMWFA        | PAERDEGAT BASIN  | CSO [CONTRACT 6-NATURAL A      | \$7,698,147      | \$7,698,147         | E     | NO SPDES  | 2111  |

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**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: C**  
(in descending order of score)

| Project Number | Applicant Name | Service Area     | Project Description             | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|----------------|------------------|---------------------------------|------------------|---------------------|-------|-----------|-------|
| C2-5214-07-16  | NYCMWFA        | CITY-WIDE        | CSO [CSO-FLT/HI/CBH FLOATAI     | \$1,066,790      | \$1,066,790         |       | VARIOUS   | 2101  |
| C4-5433-01-06  | NYCMWFA        | NYC-WATERSHED    | NPS (319 LAND) [DW PROTECT      | \$23,122,143     | \$23,122,143        |       | NO SPDES  | 2077  |
| C2-5231-03-15  | NYCMWFA        | CONEY ISLAND     | STP UP [CI-19]                  | \$4,065,891      | \$4,065,891         | E     | NY0026182 | 2076  |
| C2-5234-08-08  | NYCMWFA        | NORTH RIVER      | STP MOD [NR-33 ODOR]            | \$19,190,587     | \$19,190,587        |       | NY0026247 | 2071  |
| C2-5226-16-10  | NYCMWFA        | REGULATORS       | CSO, REG-IMP [REG 20A/21 (WI    | \$163,280        | \$163,280           |       | VARIOUS   | 2061  |
| C2-5226-18-09  | NYCMWFA        | REGULATORS       | CSO, REG-IMP [REG-20R/21F/2     | \$419,945        | \$419,945           |       | VARIOUS   | 2061  |
| C2-5240-06-05  | NYCMWFA        | CITY-WIDE PLANTS | STP REHAB [PW-14/15/22]         | \$73,856         | \$73,856            |       | NO SPDES  | 2061  |
| C3-5391-01-08  | NYCMWFA        | PINE HILL STP    | STP UP [CAT-133/145/319 (WAT    | \$68,530         | \$68,530            |       | NY0026557 | 2061  |
| C2-5202-12-05  | NYCMWFA        | HUNTS POINT      | STP IMP [HP-64A/180/181/212/2   | \$459,152        | \$459,152           |       | NY0026191 | 2059  |
| C2-5212-09-04  | NYCMWFA        | ROCKAWAY         | STP IMP [R-91/106 (WP-112)]     | \$26,647         | \$26,647            |       | NY0026221 | 2051  |
| C2-5212-10-03  | NYCMWFA        | ROCKAWAY         | STP IMP [R-114 (WP-112)]        | \$49,392         | \$49,392            |       | NY0026221 | 2051  |
| C2-5203-08-08  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-187/194L (WP-112)   | \$278,561        | \$278,561           |       | NY0026158 | 2047  |
| C2-5233-07-04  | NYCMWFA        | RED HOOK         | STP IMP [RS-18/27/31/34 (WP-1   | \$253,565        | \$253,565           |       | NY0027073 | 2047  |
| C2-5211-07-21  | NYCMWFA        | SLUDGE           | STP [SM-64/101/102/104 SLUDG    | \$1,345,439      | \$1,345,439         | E     | VARIOUS   | 2046  |
| C2-5211-08-11  | NYCMWFA        | SLUDGE           | STP [SM-112/140/141/150 SLUDG   | \$907,684        | \$907,684           | E     | VARIOUS   | 2046  |
| C2-5211-09-06  | NYCMWFA        | SLUDGE           | STP MOD [SM-80/80A SLUDGE I     | \$6,431,630      | \$6,431,630         |       | VARIOUS   | 2046  |
| C2-5227-05-12  | NYCMWFA        | OWLS HEAD        | STP MOD [OH-32]                 | \$2,433,247      | \$2,433,247         |       | NY0026166 | 2041  |
| C2-5234-06-13  | NYCMWFA        | NORTH RIVER      | STP MOD [NR-32 (IC)]            | \$2,008,701      | \$2,008,701         |       | NY0026247 | 2041  |
| C2-5234-19-05  | NYCMWFA        | NORTH RIVER      | STP IMP [NR-107/1 (WP-112)]     | \$67,056         | \$67,056            |       | NY0026247 | 2041  |
| C2-5236-11-03  | NYCMWFA        | PORT RICHMOND    | STP IMP [PR-79 (WP-112)]        | \$197,428        | \$197,428           |       | NY0026107 | 2039  |
| C2-5225-04-10  | NYCMWFA        | PUMP STATIONS    | PS UP [PS-157/161 PAERDEGA      | \$760,293        | \$760,293           |       | VARIOUS   | 2036  |
| C2-5225-05-07  | NYCMWFA        | PUMP STATIONS    | PS UP [PS-10/82, 107/93-95/183/ | \$155,392        | \$155,392           |       | VARIOUS   | 2036  |
| C2-5202-03-00  | NYCMWFA        | HUNTS POINT      | STP UP [PHASE 3R]               | \$4,327,360      | \$4,327,360         | E     | NY0026191 | 1119  |
| C2-5209-36-00  | NYCMWFA        | NEWTOWN CREEK    | STP UP [NC-50A (SLUDGE VES)     | \$7,194,287      | \$7,194,287         |       | NY0026204 | 1119  |
| C2-5206-14-00  | NYCMWFA        | 26TH WARD        | STP UP [26W-13 GENERATOR]       | \$1,722,652      | \$1,722,652         |       | NY0026212 | 1114  |
| C2-5201-25-00  | NYCMWFA        | WARDS ISLAND     | STP UP [WI-79A PRIMARY SLUI     | \$4,234,142      | \$4,234,142         |       | NY0026131 | 1109  |
| C2-5227-20-00  | NYCMWFA        | OWLS HEAD        | STP MOD [OH-85 & OH-84 DIGE     | \$43,000,000     | \$13,000,000        | F     | NY0026166 | 1051  |
| C2-5236-13-00  | NYCMWFA        | PORT RICHMOND    | STP IMP [PR-113 WP-112]         | \$1,576,936      | \$1,576,936         |       | NY0026107 | 1034  |
| C2-5225-16-00  | NYCMWFA        | PUMP STATIONS    | CSO [CSO-GC GOWANUS PS R        | \$123,072,049    | \$123,072,049       |       | NY0026166 | 148   |
| C2-5226-21-00  | NYCMWFA        | REGULATORS       | CSO, REG-IMP [REG-24C/24D (I    | \$11,690,199     | \$11,690,199        |       | VARIOUS   | 142   |
| C2-5226-22-00  | NYCMWFA        | REGULATORS       | CSO, REG-IMP [REG-26 AUTOM      | \$17,533,297     | \$17,533,297        |       | VARIOUS   | 142   |
| C2-5201-30-00  | NYCMWFA        | WARDS ISLAND     | STP UP [WI-79 BNR]              | \$196,943,048    | \$196,943,048       |       | NY0026131 | 139   |
| C2-5201-22-00  | NYCMWFA        | WARDS ISLAND     | STP UP [PO-87 BNR]              | \$61,556,356     | \$61,556,356        |       | NY0026131 | 139   |
| C2-5201-23-00  | NYCMWFA        | WARDS ISLAND     | STP UP [PO-83: SHARON BNR F     | \$71,511,433     | \$71,511,433        |       | NY0026131 | 139   |
| C2-5204-01-00  | NYCMWFA        | TALLMAN ISLAND   | STP UP [TI-3 BNR]               | \$333,532,663    | \$333,532,663       |       | NY0026239 | 137   |
| C2-5204-12-00  | NYCMWFA        | TALLMAN ISLAND   | STP UP [TI-2 MAIN PS ]          | \$28,418,697     | \$28,418,697        |       | NY0026239 | 137   |
| C2-5226-23-00  | NYCMWFA        | REGULATORS       | CSO, REG-IMP [REG-27 SCADA      | \$23,784,000     | \$23,784,000        |       | VARIOUS   | 137   |
| C2-5243-03-00  | NYCMWFA        | EAST RIVER       | CSO [ER-AC2 ALLEY CREEK-ST      | \$38,648,360     | \$38,648,360        |       | NY0026239 | 136   |
| C2-5243-04-00  | NYCMWFA        | EAST RIVER       | CSO [ER-BR1 BRONX RIVER-FL      | \$26,757,523     | \$26,757,523        |       | NY0026191 | 136   |

NOTES: E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS)

F Indicates the financing is anticipated to close by the end of the 2011 IUP period.

R Projects considered fundable in order to meet requirement for regional distribution of funds.



**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: C**  
(in descending order of score)

| Project Number | Applicant Name | Service Area       | Project Description           | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|----------------|--------------------|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C2-5206-12-00  | NYCMWFA        | 26TH WARD          | STP UP [26W-11G & FINAL IPU I | \$76,314,044     | \$76,314,044        |       | NY0026212 | 134   |
| C2-5206-13-00  | NYCMWFA        | 26TH WARD          | STP UP [26W-12 BNR]           | \$123,428,636    | \$123,428,636       |       | NY0026212 | 134   |
| C2-5204-11-00  | NYCMWFA        | TALLMAN ISLAND     | STP UP [TI-158 PRIMARY TANK   | \$5,948,228      | \$5,948,228         |       | NY0026239 | 132   |
| C2-5205-20-00  | NYCMWFA        | JAMAICA            | STP MOD/UP [JA-2 IPU]         | \$216,797,500    | \$216,797,500       |       | NY0026115 | 132   |
| C2-5223-01-00  | NYCMWFA        | JAMAICA            | CSO [PS-216 JAMAICA TRIBS - I | \$42,774,309     | \$42,774,309        |       | NY0026115 | 132   |
| C2-5248-01-00  | NYCMWFA        | OUTER HARBOR       | CSO [OH-REG OUTER HARBOR      | \$4,208,140      | \$4,208,140         |       | VARIOUS   | 132   |
| C2-5248-02-00  | NYCMWFA        | OUTER HARBOR       | CSO [CSO-OH-TF OUTER HARE     | \$5,704,481      | \$5,704,481         |       | NY0026107 | 132   |
| C2-5203-20-00  | NYCMWFA        | BOWERY BAY         | STP UP [BB-59 BNR]            | \$272,348,899    | \$272,348,899       |       | NY0026158 | 129   |
| C2-5223-02-00  | NYCMWFA        | JAMAICA            | CSO [CSO-JT-DF JAMAICA TRIE   | \$2,736,526      | \$2,736,526         |       | NY0026115 | 127   |
| C2-5201-24-00  | NYCMWFA        | WARDS ISLAND       | STP UP [WI-5F MAIN SUBSTATI   | \$8,510,752      | \$8,510,752         |       | NY0026131 | 124   |
| C2-5218-01-00  | NYCMWFA        | NEWTOWN CREEK      | CSO [NC-EK11 ENGLISH KILLS    | \$22,336,991     | \$22,336,991        |       | NY0026204 | 124   |
| C2-5244-03-00  | NYCMWFA        | JAMAICA BAY        | CSO [CSO-HC HENDRIX CANAL     | \$14,996,809     | \$14,996,809        |       | NY0026212 | 124   |
| C2-5246-01-00  | NYCMWFA        | CONEY ISLAND CREEK | CSO [PS-79 AVE V PUMP STATI   | \$61,755,558     | \$61,755,558        |       | NY0026166 | 124   |
| C2-5246-02-00  | NYCMWFA        | CONEY ISLAND CREEK | CSO [PS-79F AVE V FORCE MA    | \$113,787,271    | \$113,787,271       |       | NY0026166 | 124   |
| C2-5217-05-00  | NYCMWFA        | FLUSHING BAY       | CSO, INT, REG-IMP [TI-VWW WHI | \$5,589,267      | \$5,589,267         | E     | NY0026239 | 119   |
| C2-5218-02-00  | NYCMWFA        | NEWTOWN CREEK      | CSO [CSO-NC2 ENGLISH KILLS    | \$1,738,000      | \$1,738,000         |       | NY0026204 | 119   |
| C2-5246-03-00  | NYCMWFA        | CONEY ISLAND CREEK | CSO [PS-79F-FH AVE V FORCE    | \$3,152,000      | \$3,152,000         |       | NY0026166 | 119   |
| C2-5203-10-00  | NYCMWFA        | BOWERY BAY         | STP UP [BB-58 IPU]            | \$27,336,733     | \$27,336,733        |       | NY0026158 | 114   |
| C2-5245-03-00  | NYCMWFA        | INNER HARBOR       | CSO [CSO-IH-12 IN-LINE STOR   | \$16,336,084     | \$16,336,084        |       | VARIOUS   | 112   |
| C2-5209-26-00  | NYCMWFA        | NEWTOWN CREEK      | STP UP [PHASE 3 NC-50 (SLUD   | \$23,726,700     | \$23,726,700        |       | NY0026204 | 104   |
| C2-5260-01-00  | NYCMWFA        | JAMAICA            | STMSEW [SPRINGFIELD LAKE I    | \$14,248,735     | \$14,248,735        |       | NY0026115 | 102   |
| C2-5231-06-00  | NYCMWFA        | CONEY ISLAND       | STP UP [CI-21]                | \$9,588,775      | \$9,588,775         | E     | NY0026182 | 71    |
| C2-5231-07-00  | NYCMWFA        | CONEY ISLAND       | STP UP [CI-22]                | \$10,000,000     | \$10,000,000        | E     | NY0026182 | 71    |
| C2-5202-14-00  | NYCMWFA        | HUNTS POINT        | STP IMP [HP-234 (WP-112)]     | \$2,847,683      | \$2,847,683         |       | NY0026191 | 69    |
| C2-5240-10-00  | NYCMWFA        | CITY-WIDE PLANTS   | STP REHAB [PW-63/55 PIPING I  | \$9,042,610      | \$9,042,610         |       | VARIOUS   | 61    |
| C2-5202-16-00  | NYCMWFA        | HUNTS POINT        | STP IMP [HP-4 CARBON ADDITI   | \$8,930,000      | \$8,930,000         |       | NY0026191 | 57    |
| C2-5234-21-00  | NYCMWFA        | NORTH RIVER        | STP MOD [NR-35 PROCESS OF     | \$96,232,972     | \$96,232,972        |       | NY0026247 | 56    |
| C2-5205-13-00  | NYCMWFA        | JAMAICA            | STP IMP [JA-154 (WP-112)]     | \$837,204        | \$837,204           |       | NY0026115 | 51    |
| C2-5212-01-00  | NYCMWFA        | ROCKAWAY           | STP UP [R-108 STRAINERS]      | \$299,460        | \$299,460           |       | NY0026221 | 51    |
| C2-5212-06-00  | NYCMWFA        | ROCKAWAY           | STP IMP [R-141 DIGESTER RET   | \$541,042        | \$541,042           |       | NY0026221 | 51    |
| C2-5212-13-00  | NYCMWFA        | ROCKAWAY           | STP IMP [R-137 (WP-112)]      | \$1,193,997      | \$1,193,997         |       | NY0026221 | 51    |
| C2-5240-11-00  | NYCMWFA        | CITY-WIDE PLANTS   | STP IMP [PW-32 GAS DETECTIC   | \$990,000        | \$990,000           |       | NO SPDES  | 51    |
| C2-5227-09-00  | NYCMWFA        | OWLS HEAD          | STP UP (OH-33)                | \$46,754,214     | \$46,754,214        |       | NY0026166 | 51    |
| C2-5201-12-00  | NYCMWFA        | WARDS ISLAND       | STP IMP [WI-259 (WP-112)]     | \$939,295        | \$939,295           |       | NY0026131 | 47    |
| C2-5203-09-00  | NYCMWFA        | BOWERY BAY         | STP IMP [BB-200 FINAL TANK R  | \$4,908,500      | \$4,908,500         |       | NY0026158 | 47    |
| C2-5233-08-00  | NYCMWFA        | RED HOOK           | STP IMP [RH-23/37 (WP-112)]   | \$1,762,400      | \$1,762,400         |       | NY0027073 | 47    |
| C2-5205-14-00  | NYCMWFA        | JAMAICA            | STP IMP [J-172 CLIMBER SCREI  | \$3,500,000      | \$3,500,000         |       | NY0026115 | 46    |
| C2-5212-15-00  | NYCMWFA        | ROCKAWAY           | STP IMP [R-143 CLASSIFIERS &  | \$1,241,220      | \$1,241,220         |       | NY0026221 | 46    |
| C2-5212-16-00  | NYCMWFA        | ROCKAWAY           | STP IMP [R-142 GAS DETECTIO   | \$716,627        | \$716,627           |       | NY0026221 | 46    |

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R Projects considered fundable in order to meet requirement for regional distribution of funds.



**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: C**  
(in descending order of score)

| Project Number | Applicant Name | Service Area     | Project Description             | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|----------------|------------------|---------------------------------|------------------|---------------------|-------|-----------|-------|
| C2-5240-05-00  | NYCMWFA        | CITY-WIDE PLANTS | STP IMP [PW-50/51/52/53/54/71]  | \$12,821,671     | \$12,821,671        |       | NO SPDES  | 46    |
| C2-5240-12-00  | NYCMWFA        | CITY-WIDE PLANTS | STP IMP [PW-46 WPCP TANKS]      | \$363,311        | \$363,311           |       | NO SPDES  | 46    |
| C2-5211-10-00  | NYCMWFA        | SLUDGE           | STP MOD [SM-142 TALLMAN IS.]    | \$7,549,826      | \$7,549,826         |       | NY0026239 | 46    |
| C2-5211-11-00  | NYCMWFA        | SLUDGE           | STP [SM-70 SLUDGE VESSEL]       | \$30,845,884     | \$30,845,884        |       | NO SPDES  | 46    |
| C2-5225-17-00  | NYCMWFA        | PUMP STATIONS    | PS IMP [PS-242 CITYWIDE SECT]   | \$1,000,485      | \$1,000,485         |       | VARIOUS   | 46    |
| C2-5231-09-00  | NYCMWFA        | CONEY ISLAND     | STP MOD [CI-105 PST ODOR CK]    | \$25,560,059     | \$25,560,059        |       | NY0026182 | 43    |
| C2-5231-10-00  | NYCMWFA        | CONEY ISLAND     | STP IMP [CI-95 (WP-112)]        | \$2,254,814      | \$2,254,814         |       | NY0026182 | 43    |
| C2-5201-03-00  | NYCMWFA        | WARDS ISLAND     | STP UP [WI-270 CHEM & PETRO]    | \$13,587,582     | \$13,587,582        | E     | NY0026131 | 42    |
| C2-5202-15-00  | NYCMWFA        | HUNTS POINT      | STP IMP [HP-118 FLOOR DRAIN]    | \$335,822        | \$335,822           |       | NY0026191 | 42    |
| C2-5203-11-00  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-202 DIG HEAT EXC]   | \$1,813,000      | \$1,813,000         |       | NY0026158 | 42    |
| C2-5203-12-00  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-205 REPLACE PBS]    | \$7,458,000      | \$7,458,000         |       | NY0026158 | 42    |
| C2-5203-13-00  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-209 RECON INFLU]    | \$2,416,000      | \$2,416,000         |       | NY0026158 | 42    |
| C2-5203-14-00  | NYCMWFA        | BOWERY BAY       | STP IMP [BB-210 IMPROVEMEN]     | \$18,621,011     | \$18,621,011        |       | NY0026158 | 42    |
| C2-5233-14-00  | NYCMWFA        | RED HOOK         | STP IMP [RH-60 RECON OUTDC]     | \$786,156        | \$786,156           |       | NY0027073 | 42    |
| C2-5233-15-00  | NYCMWFA        | RED HOOK         | STP IMP [RH-66 FIRE ALARM S]    | \$2,476,000      | \$2,476,000         |       | NY0027073 | 42    |
| C2-5227-12-00  | NYCMWFA        | OWLS HEAD        | STP IMP [OH-70 (WP-112)]        | \$3,296,690      | \$3,296,690         |       | NY0026166 | 41    |
| C2-5234-20-00  | NYCMWFA        | NORTH RIVER      | STP MOD [NR-36 DIGESTER RE]     | \$29,779,425     | \$29,779,425        |       | NY0026247 | 41    |
| C2-5234-22-00  | NYCMWFA        | NORTH RIVER      | STP IMP [NR-88 (WP-112)]        | \$1,528,000      | \$1,528,000         |       | NY0026247 | 41    |
| C2-5236-12-00  | NYCMWFA        | PORT RICHMOND    | STP IMP [PR-102/118 (WP-112)]   | \$3,302,178      | \$3,302,178         |       | NY0026107 | 39    |
| C2-5231-13-00  | NYCMWFA        | CONEY ISLAND     | STP MOD [CI-85 RECON OF SLL]    | \$4,553,699      | \$4,553,699         |       | NY0026182 | 38    |
| C2-5231-14-00  | NYCMWFA        | CONEY ISLAND     | STP MOD [CI-86 INSTALL GAS T]   | \$489,800        | \$489,800           |       | NY0026182 | 38    |
| C2-5231-16-00  | NYCMWFA        | CONEY ISLAND     | STP MOD [CI-107 UP LIGHTNIN]    | \$1,705,409      | \$1,705,409         |       | NY0026182 | 38    |
| C2-5234-07-00  | NYCMWFA        | NORTH RIVER      | STP IMP [NR-54 DEGRITTER RE]    | \$1,868,365      | \$1,868,365         |       | NY0026247 | 36    |
| C2-5234-11-00  | NYCMWFA        | NORTH RIVER      | STP IMP [NR-92 ENGINE RECOI]    | \$5,031,095      | \$5,031,095         |       | NY0026247 | 36    |
| C2-5234-26-00  | NYCMWFA        | NORTH RIVER      | STP IMP [NR-50 PUMP INSTALL]    | \$922,200        | \$922,200           |       | NY0026247 | 36    |
| C2-5227-18-00  | NYCMWFA        | OWLS HEAD        | STP MOD [OH-79 RECON PRIM]      | \$3,338,000      | \$3,338,000         |       | NY0026166 | 36    |
| C2-5234-24-00  | NYCMWFA        | NORTH RIVER      | STP MOD [NR-90 RECON 5' CHE]    | \$3,273,310      | \$3,273,310         |       | NY0026247 | 36    |
| C2-5234-25-00  | NYCMWFA        | NORTH RIVER      | STP MOD [NR-94 REPLACE SLL]     | \$3,964,750      | \$3,964,750         |       | NY0026247 | 36    |
| C2-5236-14-00  | NYCMWFA        | PORT RICHMOND    | STP IMP [PR-105 (WP-112)]       | \$1,005,000      | \$1,005,000         |       | NY0026107 | 34    |
| C2-5236-08-00  | NYCMWFA        | PORT RICHMOND    | STP IMP [PR-107 SEWAGE FLO]     | \$926,300        | \$926,300           |       | NY0026107 | 34    |
| C2-5210-13-00  | NYCMWFA        | OAKWOOD BEACH    | STP IMP [OB-43/89/117 (WP-112)] | \$2,479,500      | \$2,479,500         |       | NY0026174 | 33    |
| C2-5225-21-00  | NYCMWFA        | PUMP STATIONS    | PS UP [PS-252R HANNAH STRE]     | \$1,338,596      | \$1,338,596         |       | VARIOUS   | 31    |
| C2-5225-23-00  | NYCMWFA        | PUMP STATIONS    | PS IMP [PS-232 ORCHARD BEA]     | \$2,671,385      | \$2,671,385         |       | VARIOUS   | 31    |
| C2-5225-24-00  | NYCMWFA        | PUMP STATIONS    | PS IMP [PS-223/225 PS RECON]    | \$4,062,129      | \$4,062,129         |       | VARIOUS   | 31    |
| C2-5210-08-00  | NYCMWFA        | OAKWOOD BEACH    | STP IMP [OB-121 CENTRIFUGE]     | \$2,548,000      | \$2,548,000         |       | NY0026174 | 28    |
| C2-5210-09-00  | NYCMWFA        | OAKWOOD BEACH    | STP IMP [OB-123 GENERATORS]     | \$2,132,028      | \$2,132,028         |       | NY0026174 | 28    |
| C2-5210-19-00  | NYCMWFA        | OAKWOOD BEACH    | STP IMP [OB-124 INSTALL BLOV]   | \$436,970        | \$436,970           |       | NY0026174 | 28    |

Category C Subtotal: \$4,647,393,850

Total Number of Projects: 154

F Projects \$ / #: \$13,000,000 / 1

NOTES: E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS)

F Indicates the financing is anticipated to close by the end of the 2011 IUP period. R Projects considered fundable in order to meet requirement for regional distribution of funds.

**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: D**  
(in descending order of score)

| Project Number | Applicant Name            | Service Area                  | Project Description           | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|---------------------------|-------------------------------|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C5-5594-03-00  | PORT HENRY, VILLAGE OF    |                               | I/I CORR                      | \$2,340,000      | \$2,340,000         |       | NY0022969 | 2097  |
| C8-6544-01-01  | SPRINGWATER, TOWN OF      | HAMLET OF SPRINGWATER         | COLL, FM, PS, STP, I/PRESSURE | \$1,661,605      | \$1,661,605         |       | NY0246450 | 2078  |
| C5-5514-01-01  | SCHROON, TOWN OF          |                               | I/I CORR, STP MOD             | \$0              | \$0                 |       | NY0020231 | 2058  |
| C5-5514-01-71  | SCHROON, TOWN OF          |                               | STP MOD                       | \$900,000        | \$91,917            |       | NY0020231 | 2058  |
| C6-6094-01-01  | RUTLAND, TOWN OF          | FELTS MILLS PHASE II          | COLL, INT, PS [GRAVITY SEWER] | \$2,750,000      | \$525,000           |       | NY0025984 | 2057  |
| C6-6094-01-02  | RUTLAND, TOWN OF          | FELTS MILLS PHASE III         | COLL [GRAVITY SEWERS]         | \$0              | \$0                 |       | NY0025984 | 2057  |
| C6-6094-01-72  | RUTLAND, TOWN OF          | FELTS MILLS PHASE III         | COLL [GRAVITY SEWERS]         | \$2,520,000      | \$1,000             |       | NY0025984 | 2057  |
| C5-5552-01-01  | GRANVILLE, VILLAGE OF     |                               | STP UP [AND IMP]              | \$190,000        | \$8,864             |       | NY0021547 | 2054  |
| C5-5552-01-71  | GRANVILLE, VILLAGE OF     |                               | STP UP [AND IMP]              | \$370,000        | \$146,350           |       | NY0021547 | 2054  |
| C6-6062-02-01  | HEUVELTON, VILLAGE OF     | PHASE 2                       | SEW REHAB                     | \$3,000,000      | \$3,000,000         |       | NY0027146 | 2054  |
| C7-6206-01-01  | WHITNEY POINT, VILLAGE OF | PHASE II, PRIORITY AREAS 1A-I | COLL [GRAVITY SEWERS]         | \$2,800,000      | \$1,855,000         |       | NY0262552 | 2031  |
| C5-5537-01-00  | INLET, TOWN OF            | SEWER DISTRICT NO. 1          | COLL, FM, PS, STP [NEW]       | \$2,400,000      | \$1,804,000         |       | NEW SPDES | 1209  |
| C5-5520-05-00  | TICONDEROGA, TOWN OF      | WWTP SD #5 (STAGE 1)          | SEW REPL, STP MOD             | \$0              | \$0                 |       | NY0036706 | 1137  |
| C5-5520-05-70  | TICONDEROGA, TOWN OF      | WWTP SD #5 (STAGE 1)          | SEW REPL, STP MOD             | \$4,100,000      | \$2,105,204         |       | NY0036706 | 1137  |
| C5-5520-08-00  | TICONDEROGA, TOWN OF      | WWTP SD #5 (STAGE 1)          | SEW REPL, STP MOD             | \$1,150,000      | \$2,507             |       | NY0036706 | 1137  |
| C7-6297-04-00  | CANASTOTA, VILLAGE OF     |                               | CSO, SEW REHAB, STP UP        | \$200,050        | \$0                 |       | NY0029807 | 1129  |
| C7-6297-04-70  | CANASTOTA, VILLAGE OF     |                               | CSO, SEW REHAB, STP UP        | \$9,549,950      | \$3,525,495         |       | NY0029807 | 1129  |
| C6-6089-04-00  | NORFOLK, TOWN OF          | NORFOLK SD                    | COLL, STP REPL [NEW TREATM]   | \$5,950,000      | \$0                 |       | NY0023604 | 1117  |
| C9-6619-01-00  | MACHIAS, TOWN OF          | LIME LAKE                     | COLL, FM, PS [TREATMENT AT    | \$9,500,000      | \$65,000            | F     | NEW SPDES | 1113  |
| C1-5121-03-00  | GREENPORT, VILLAGE OF     | GREENPORT SD                  | STP UP [PHASE II BNR & UV]    | \$350,000        | \$13,435            |       | NY0020079 | 1112  |
| C1-5121-03-70  | GREENPORT, VILLAGE OF     | GREENPORT SD                  | STP UP [PHASE II BNR & UV]    | \$750,000        | \$0                 |       | NY0020079 | 1112  |
| C9-6608-01-00  | CUBA, TOWN OF             | CUBA LAKE                     | COLL, FM, PS                  | \$168,500        | \$3,196             |       | NY0023515 | 1102  |
| C9-6608-01-70  | CUBA, TOWN OF             | CUBA LAKE                     | COLL, FM, PS                  | \$1,720,000      | \$0                 |       | NY0023515 | 1102  |
| C4-5415-02-00  | HUDSON, CITY OF           |                               | PS IMP, STP IMP [CSO LTCP]    | \$0              | \$0                 |       | NY0022039 | 1102  |
| C4-5415-02-70  | HUDSON, CITY OF           |                               | PS IMP, STP IMP [CSO LTCP]    | \$5,687,000      | \$350,174           |       | NY0022039 | 1102  |
| C5-5518-01-00  | ESSEX, TOWN OF            | HAMLET OF ESSEX               | COLL, STP                     | \$0              | \$0                 |       | NY0256471 | 1092  |
| C5-5518-01-70  | ESSEX, TOWN OF            | HAMLET OF ESSEX               | COLL, STP                     | \$1,300,000      | \$300,691           |       | NY0256471 | 1092  |
| C4-5414-04-00  | GREENPORT, TOWN OF        |                               | STP IMP                       | \$800,000        | \$166               |       | NY0030988 | 1091  |
| C4-5414-04-70  | GREENPORT, TOWN OF        |                               | STP IMP                       | \$3,317,000      | \$838               |       | NY0030988 | 1091  |
| C4-5482-01-02  | ESPERANCE, TOWN OF        | CENTRAL BRIDGE SEWER DIST     | COLL                          | \$175,000        | \$175,000           |       | NY0263087 | 1089  |
| C8-6429-02-00  | ALBION, VILLAGE OF        | VILLAGE OF ALBION             | I/I CORR, SEW REHAB           | \$97,047         | \$0                 |       | NY0028401 | 1081  |
| C8-6429-02-70  | ALBION, VILLAGE OF        | VILLAGE OF ALBION             | I/I CORR, SEW REHAB           | \$1,262,320      | \$60,246            |       | NY0028401 | 1081  |
| C4-5434-01-00  | CATSKILL, TOWN OF         | HAMLET OF SMITH'S LANDING     | I/I CORR, STP IMP             | \$15,000         | \$1,296             |       | NY0205044 | 1081  |
| C4-5434-01-70  | CATSKILL, TOWN OF         | HAMLET OF SMITH'S LANDING     | I/I CORR, STP IMP             | \$50,000         | \$14,376            |       | NY0205044 | 1081  |
| C5-5521-01-00  | NEWCOMB, TOWN OF          | WINEBROOK HILLS STP IMPRO     | I/I CORR, STP MOD             | \$0              | \$0                 |       | NY0023132 | 1073  |
| C5-5521-01-70  | NEWCOMB, TOWN OF          | WINEBROOK HILLS STP IMPRO     | I/I CORR, STP MOD             | \$400,000        | \$4,630             |       | NY0023132 | 1073  |
| C9-6609-01-00  | CUBA, VILLAGE OF          |                               | I/I CORR, STP REHAB           | \$0              | \$0                 |       | NY0023515 | 1072  |
| C9-6609-01-70  | CUBA, VILLAGE OF          |                               | I/I CORR, STP REHAB           | \$1,050,000      | \$71,047            |       | NY0023515 | 1072  |
| C7-6262-01-00  | NORWICH, CITY OF          | VILLAGE OF NORWICH            | STP REHAB                     | \$4,500,000      | \$568,482           |       | NY0021423 | 1068  |

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**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: D**  
(in descending order of score)

| Project Number | Applicant Name                | Service Area                 | Project Description           | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|-------------------------------|------------------------------|-------------------------------|------------------|---------------------|-------|-----------|-------|
| C5-5557-04-00  | WARRENSBURG, TOWN OF          | WWTP DISINFECTION            | STP IMP [UV DISINFECTION]     | \$550,000        | \$38,850            |       | NY0248720 | 1066  |
| C4-5440-02-00  | CAIRO, TOWN OF                | HAMLET OF CAIRO              | FM MOD, I/I CORR, PS EXP, STP | \$2,915,000      | \$0                 | F     | NY0260819 | 1064  |
| C6-6020-05-00  | SACKETS HARBOR, VILLAGE OF    |                              | I/I CORR, STP REPL [PHOSPHO   | \$0              | \$0                 |       | NY0027014 | 1063  |
| C6-6020-05-70  | SACKETS HARBOR, VILLAGE OF    |                              | I/I CORR, STP REPL [PHOSPHO   | \$4,000,000      | \$151,012           |       | NY0027014 | 1063  |
| C4-7498-02-00  | GREENVILLE, TOWN OF           | SEWER DISTRICT NO. 1         | I/I CORR, STP IMP             | \$180,000        | \$103,570           |       | NY0094854 | 1063  |
| C4-7498-02-70  | GREENVILLE, TOWN OF           | SEWER DISTRICT NO. 1         | I/I CORR, STP IMP             | \$135,000        | \$52,911            |       | NY0094854 | 1063  |
| C4-5430-02-00  | ATHENS, VILLAGE OF            | VILLAGE                      | I/I CORR, STP IMP             | \$4,602,000      | \$0                 |       | NY0020869 | 1061  |
| C7-6240-12-00  | AUBURN, CITY OF               | CITY OF AUBURN               | I/I CORR, SEW REHAB           | \$1,880,000      | \$0                 | F     | NY0021903 | 1061  |
| C4-5450-02-00  | RICHFIELD SPRINGS, VILLAGE OF | VILLAGE                      | I/I CORR, STP IMP             | \$50,000         | \$5,650             |       | NY0031411 | 1059  |
| C4-5450-02-70  | RICHFIELD SPRINGS, VILLAGE OF | VILLAGE                      | I/I CORR, STP IMP             | \$1,360,000      | \$153,679           |       | NY0031411 | 1059  |
| C3-5380-02-00  | ELLENVILLE, VILLAGE OF        |                              | STP IMP                       | \$7,332,480      | \$2,073,480         |       | NY0034002 | 1054  |
| C3-5323-01-00  | WOODRIDGE, VILLAGE OF         |                              | SEW REHAB, STP REPL           | \$7,500,000      | \$7,500,000         |       | NY0272817 | 1054  |
| C6-6009-01-00  | CAPE VINCENT, VILLAGE OF      | VILLAGE                      | PS REHAB, SEW REPL, STP RE    | \$8,209,000      | \$0                 |       | NY0021393 | 1051  |
| C9-6659-01-00  | BELMONT, VILLAGE OF           |                              | STP IMP [NEW TREATMENT FA     | \$5,500,000      | \$401,500           |       | NY0031844 | 1049  |
| C6-6000-02-00  | DOLGEVILLE, VILLAGE OF        |                              | I/I CORR, SEW REPL, STP IMP   | \$2,037,000      | \$37,000            | F     | NY0024554 | 1049  |
| C4-5479-05-00  | COBLESKILL, VILLAGE OF        | VILLAGE                      | PS IMP, STP IMP [VILLAGE WW   | \$4,300,000      | \$141,222           |       | NY0024201 | 1048  |
| C6-6092-01-00  | PAMELIA, TOWN OF              | PATTERSON/GARDNER TRACT      | COLL, COMP [GRAVITY SEWER     | \$2,340,000      | \$0                 |       | NY0025984 | 1046  |
| C5-5558-03-00  | STILLWATER, VILLAGE OF        | ENTIRE VILLAGE               | COLL, FM, PS, STP IMP         | \$4,400,000      | \$653,762           |       | NY0093637 | 1046  |
| C6-6081-02-00  | MORRISTOWN, VILLAGE OF        | PHASE 1                      | COLL, STP MOD                 | \$1,467,000      | \$1,269,770         |       | NY0206997 | 1046  |
| C8-6429-03-00  | ALBION, VILLAGE OF            | VILLAGE OF ALBION            | STP REHAB                     | \$4,545,000      | \$1,396,232         | F     | NY0028481 | 1043  |
| C3-5319-01-00  | RHINEBECK, TOWN OF            | VANDERBURGH COVE SEWER       | I/I CORR, STP REPL            | \$1,900,000      | \$150,000           |       | NY0099295 | 1041  |
| C6-6091-03-00  | MORRISTOWN, TOWN OF           | SD #2: PHASE 2 & 3           | COLL, STP MOD                 | \$1,350,000      | \$33,365            |       | NY0206997 | 1041  |
| C6-6037-01-00  | MADRID, TOWN OF               | HAMLET OF MADRID             | PS REPL, STP REPL             | \$2,700,000      | \$196,330           |       | NY0024635 | 1039  |
| C7-6046-01-00  | WEEDSPORT, VILLAGE OF         |                              | I/I CORR, STP IMP             | \$1,000,000      | \$571,689           |       | NY0020559 | 1038  |
| C7-6046-01-70  | WEEDSPORT, VILLAGE OF         |                              | I/I CORR, STP IMP             | \$2,572,500      | \$414,871           |       | NY0020559 | 1038  |
| C7-6046-02-00  | WEEDSPORT, VILLAGE OF         |                              | I/I CORR                      | \$565,500        | \$25,855            |       | NY0020559 | 1038  |
| C9-6618-01-00  | BROCTON, VILLAGE OF           |                              | PS MOD, STP MOD/EXP [NEW S    | \$5,500,000      | \$745,460           |       | NY0023507 | 1038  |
| C8-6481-01-00  | BERGEN, VILLAGE OF            |                              | STP IMP                       | \$2,600,000      | \$50,000            |       | NY0110434 | 1038  |
| C6-6001-01-00  | PHILADELPHIA, VILLAGE OF      | PHASE I                      | PS REHAB, SEW REHAB, STP II   | \$3,300,000      | \$25,000            | F     | NY0033022 | 1033  |
| C8-6358-01-00  | WOODHULL, TOWN OF             |                              | COLL, STP                     | \$2,000,000      | \$2,000,000         |       | NEW SPDES | 137   |
| C6-6018-01-00  | HENDERSON, TOWN OF            | PHASE I, 2 & 3 HAMLET OF HEN | COLL, STP [PHOSPHORUS AND     | \$10,000,000     | \$10,000,000        |       | NEW SPDES | 113   |
| C7-6353-03-00  | WEST MONROE, TOWN OF          | BIG BAY, TOAD HARBOR, WEST   | COLL, STP REHAB/EXP           | \$8,000,000      | \$8,000,000         |       | NO SPDES  | 97    |
| C7-6393-04-00  | SALINA, TOWN OF               | MATTYDALE SD                 | SEW REHAB [PHASE 3 & SSO E    | \$4,680,000      | \$4,680,000         |       | NO SPDES  | 97    |
| C4-5422-01-00  | NASSAU, TOWN OF               | BURDEN LAKE WESTERN SHOF     | COLL                          | \$3,574,000      | \$3,574,000         |       | NY0087971 | 92    |
| C5-5551-02-00  | WHITEHALL, VILLAGE OF         |                              | FM REPL, I/I CORR, STP MOD [  | \$4,800,000      | \$4,800,000         |       | NY0024929 | 88    |
| C4-5403-01-01  | BERNE, TOWN OF                | HAMLET OF BERNE              | COLL, STP                     | \$1,250,000      | \$1,250,000         |       | NY0268976 | 79    |
| C4-5497-01-00  | VALATIE, VILLAGE OF           |                              | STP IMP                       | \$3,200,000      | \$3,200,000         |       | NY0021806 | 72    |
| C5-5510-04-00  | WESTPORT, TOWN OF             | SD#1, EXTENSION #1           | COLL                          | \$982,000        | \$982,000           |       | NY0020222 | 72    |
| C8-6050-01-00  | WOLCOTT, VILLAGE OF           |                              | STP MOD/UP                    | \$3,564,000      | \$3,564,000         |       | NY0020303 | 71    |

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**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: D**  
**(in descending order of score)**

| Project Number | Applicant Name             | Service Area                | Project Description          | Estimated Amount | Additional Above ST | Notes | SPDES No  | Score |
|----------------|----------------------------|-----------------------------|------------------------------|------------------|---------------------|-------|-----------|-------|
| C5-5517-01-00  | ELIZABETHTOWN, TOWN OF     | SEWER DISTRICT NO. 1        | COLL, FM, PS, STP [NEW SYSTI | \$8,550,000      | \$8,550,000         |       | NEW SPDES | 71    |
| C7-6361-04-00  | OWEGO, VILLAGE OF          |                             | STP UP [ PHOSPHORUS AND N    | \$8,254,000      | \$8,254,000         |       | NY0029262 | 68    |
| C5-5592-01-00  | SCHUYLERVILLE, VILLAGE OF  |                             | I/I CORR, STP IMP            | \$13,900,000     | \$13,900,000        |       | NY0031941 | 66    |
| C6-6099-01-00  | CLIFTON, TOWN OF           | HAMLET OF NEWTON FALLS      | COLL, STP                    | \$2,314,000      | \$2,314,000         |       | NEW SPDES | 64    |
| C7-6254-01-00  | NEW BERLIN, TOWN OF        | CHENANGO LAKE SEWER DIST    | COMP, FM, PS, STP [PHOSPHO   | \$5,822,000      | \$5,822,000         |       | NO SPDES  | 64    |
| C7-6357-01-00  | AFTON, VILLAGE OF          |                             | COLL, STP [NEW SYSTEM PHC    | \$9,000,000      | \$9,000,000         |       | NEW SPDES | 64    |
| C8-6402-05-00  | PENN YAN, VILLAGE OF       | WASTEWATER PLANT UPGRAD     | STP MOD/UP                   | \$4,000,000      | \$4,000,000         |       | NY0029726 | 59    |
| C6-6100-01-00  | KIRKLAND, TOWN OF          | CLARK MILLS SD              | I/I CORR, STP MOD/EXP        | \$5,400,000      | \$5,400,000         |       | NY0029076 | 58    |
| C6-6058-01-00  | GOUVERNEUR, VILLAGE OF     | VILLAGE OF GOUVERNEUR       | STP IMP [AERATION REPLACEM   | \$3,106,000      | \$1,106,000         |       | NY0020117 | 54    |
| C6-6005-02-00  | CLAYTON, TOWN OF           | ROUTE 12 SEWER PROJECT      | COLL, FM, PS [GRAVITY SEWER  | \$13,900,000     | \$13,900,000        |       | NO SPDES  | 52    |
| C6-6095-04-00  | LERAY, TOWN OF             | S.D NO. 4, HAMLET OF CALCIU | COLL, FM, PS [GRAVITY SEWER  | \$5,000,000      | \$5,000,000         |       | NO SPDES  | 52    |
| C6-6010-02-00  | ALEXANDRIA BAY, VILLAGE OF |                             | I/I CORR, SEW REHAB, STMSEL  | \$1,920,000      | \$1,920,000         |       | NY0022501 | 51    |
| C6-6061-03-00  | WADDINGTON, VILLAGE OF     |                             | I/I CORR                     | \$4,620,000      | \$4,620,000         |       | NY0030180 | 51    |
| C3-5378-03-00  | THOMPSON, TOWN OF          | MELODY LAKE                 | STP UP [TRC/AMMONIA]         | \$488,000        | \$488,000           |       | NY0030708 | 49    |
| C5-5585-01-00  | ST. ARMAND, TOWN OF        | BLOOMINGDALE SEWER SYSTE    | STP REBUILD                  | \$4,365,000      | \$4,365,000         |       | NY0020991 | 49    |
| C7-6238-03-00  | CAYUGA, VILLAGE OF         | VILLAGE OF CAYUGA           | COLL, FM, PS IMP, STP REHAB  | \$7,500,000      | \$7,500,000         |       | NY0025241 | 49    |
| C6-6104-01-00  | VIENNA, TOWN OF            | NORTH SHORE OF ONEIDA LAK   | COLL, FM, PS, STP            | \$10,100,000     | \$10,100,000        |       | NEW SPDES | 48    |
| C7-6346-01-00  | PARISH, VILLAGE OF         |                             | PS IMP, STP IMP              | \$2,300,000      | \$2,300,000         |       | NY0107654 | 48    |
| C6-6074-01-00  | CASTORLAND, VILLAGE OF     |                             | I/I CORR, SEW REPL, STP REPL | \$2,551,000      | \$2,551,000         |       | NY0033511 | 48    |
| C3-5311-01-00  | DUTCHESS COUNTY WWA        | HAMLET OF AMENIA            | COLL, FM, PS, STP            | \$11,559,000     | \$11,559,000        |       | NEW SPDES | 46    |
| C6-6048-01-00  | VERONA, TOWN OF            | HAMLET OF DURHAMVILLE       | COLL, INT                    | \$4,900,000      | \$4,900,000         |       | NO SPDES  | 46    |
| C6-6108-01-00  | VERNON, TOWN OF            | NORTHWESTERTEEN PORTION     | COLL, FM, PS                 | \$4,950,000      | \$4,950,000         |       | NO SPDES  | 46    |
| C6-6162-01-00  | ONEIDA CASTLE, VILLAGE OF  |                             | COLL, FM, PS                 | \$4,600,000      | \$4,600,000         |       | NO SPDES  | 46    |
| C7-6239-02-00  | AURELIUS, TOWN OF          | TOWN OF AURELIUS AND VILLA  | COLL, FM, PS, STP            | \$2,700,000      | \$2,700,000         |       | NO SPDES  | 46    |
| C7-6242-02-00  | OWASCO, TOWN OF            | SEWER DISTRICT NO. 3        | COLL, FM, PS                 | \$7,633,000      | \$7,633,000         |       | NY0029297 | 46    |
| C4-5443-03-00  | CANAJOHARIE, VILLAGE OF    | VILLAGE                     | STP IMP                      | \$1,000,000      | \$1,000,000         |       | NY0023485 | 44    |
| C7-6315-01-00  | DE WITT, TOWN OF           | HAMLET OF JAMESVILLE        | COLL, FM, PS                 | \$840,000        | \$840,000           |       | NY0261785 | 41    |
| C6-6012-07-00  | CLAYTON, VILLAGE OF        |                             | SEW REPL, SEW SEP [SLIPLINII | \$4,300,000      | \$4,300,000         |       | NY0027545 | 41    |
| C7-6292-02-00  | SULLIVAN, TOWN OF          | WSSD #2 BRIDGEPORT COLLEC   | COLL, FM, PS                 | \$7,913,000      | \$7,913,000         |       | NY0036790 | 38    |
| C6-6001-01-01  | PHILADELPHIA, VILLAGE OF   | PHASE II                    | STP IMP [PHOSPHOROUS REM     | \$4,000,000      | \$4,000,000         |       | NY0033022 | 33    |

Category D Subtotal: \$242,421,728  
Total Number of Projects: 108

F Projects \$ / #: \$1,523,232 / 6

**NOTES:** E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS)  
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R Projects considered fundable in order to meet requirement for regional distribution of funds.



# 2012 FINAL CWSRF INTENDED USE PLAN

## Annual CWSRF Project Priority List

### Project Category: E

(in descending order of score)

| Project Number | Applicant Name                    | Service Area              | Project Description       | Estimated Amount | Additional Above ST | Notes | SPDES No | Score |
|----------------|-----------------------------------|---------------------------|---------------------------|------------------|---------------------|-------|----------|-------|
| C5-8505-01-00  | FUND FOR LAKE GEORGE              | WEST BROOK CONSERVATION   | NPS (STORMWATER TREATME   | \$3,800,000      | \$3,800,000         |       | NO SPDES | 92    |
| C2-8203-01-00  | COLUMBIA UNIVERSITY               | NORTH RIVER WPCP          | CSO                       | \$17,200,000     | \$17,200,000        |       | NO SPDES | 58    |
| C2-8201-01-00  | RIVERBAY FUND                     | CO-OP CITY                | NPS, STP (WASTEWATER TRE- | \$7,128,800      | \$7,128,800         |       | NO SPDES | 51    |
| C4-8401-01-00  | THE SCENIC HUDSON LAND TRUST, INC | HUDSON RIVER NATIONAL EST | NPS (319 LAND)            | \$2,037,000      | \$2,037,000         |       | NO SPDES | 21    |
| C5-8509-01-00  | THE NATURE CONSERVANCY            | ADIRONDACK - FINCH-PRUYN  | NPS (319 LAND)            | \$17,679,000     | \$17,679,000        |       | NO SPDES | 20    |
| C5-8510-01-00  | LAKE GEORGE LAND CONSERVANCY      | BERRY POND TRACT: WEST BR | NPS (319 LAND)            | \$2,444,000      | \$2,444,000         |       | NO SPDES | 16    |

Category E Subtotal: \$50,288,800

Total Number of Projects: 6

F Projects \$ / #: \$0 / 0

NOTES: E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS)

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R Projects considered fundable in order to meet requirement for regional distribution of funds.

**2012 FINAL CWSRF INTENDED USE PLAN**  
**Annual CWSRF Project Priority List**  
**Project Category: G**  
(in descending order of score)

| Project Number | Applicant Name                              | Service Area              | Project Description   | Estimated Amount | SPDES No  |
|----------------|---|---------------------------|---|------------------|-----------|
| C4-5458-08-00  | ALBANY, CITY OF                             | STATE ST                  | NPS [GIGP2 - GI SW RETROFIT - GREEN STREETS]                | \$361,000        | NO SPDES  |
| C4-5458-09-00  | ALBANY, CITY OF                             | NORTH SWAN ST PARK        | NPS [GIGP2 DESIGN - GI SW RETROFIT]                         | \$47,500         | NO SPDES  |
| C9-6602-21-00  | BUFFALO SEWER AUTHORITY                     | BIRD AVE SEWER SHED       | NPS [GIGP2 - GI SW RETROFIT - GREEN STREETS]                | \$712,500        | NY0028410 |
| C8-6434-11-00  | CANANDAIGUA, CITY OF                        | ANTIS ST                  | NPS [GIGP2 - GI SW RETROFIT - BIORETENTION]                 | \$38,000         | NO SPDES  |
| C7-6234-05-00  | CAYUGA COUNTY                               | OWASCO FLATS              | NPS [GIGP2 - HYDROMOD - WETLAND RESTORATION]                | \$712,500        | NO SPDES  |
| C7-6350-03-00  | CAZENOVIA, VILLAGE OF                       |                           | NPS [GIGP2 - GI SW CAPTURE AND REUSE]                       | \$325,000        | NO SPDES  |
| C9-9209-01-00  | CHAUTAUQUA INSTITUTION                      |                           | NPS [GIGP2 - GI SW RETROFIT - BIORETENTION, WETLANDS, AND V | \$683,000        | NO SPDES  |
| C4-9210-01-00  | DARROW SCHOOL                               |                           | SAWS [GIGP2 DESIGN - INNOVATIVE DECEN WW TREATMENT]         | \$19,000         | NO SPDES  |
| C3-9216-01-00  | EASTCHESTER, TOWN OF                        | HIGHLAND AVENUE PROPERTY  | NPS [GIGP2 DESIGN - HYDROMOD - WETLAND RESTORATION]         | \$28,500         | NO SPDES  |
| C5-5517-02-00  | ELIZABETH TOWN, TOWN OF                     |                           | STP REPL [GIGP2 - SECONDARY TREATMENT - REED BEDS]          | \$303,000        | NEW SPDES |
| C9-6646-14-00  | ERIE COUNTY                                 |                           | NPS [GIGP2 - GI SW CAPTURE AND REUSE]                       | \$626,000        | NO SPDES  |
| C9-6646-15-00  | ERIE COUNTY                                 | BIG SISTER CREEK WASTEWAT | STP IMP [GIGP2 - SECONDARY TREATMENT - ENERGY EFFICIENCY]   | \$363,000        | NY0022543 |
| C6-6006-02-00  | FRANKFORT, VILLAGE OF                       |                           | NPS [GIGP2 - GI SW RETROFIT - GREEN STREETS]                | \$150,000        | NO SPDES  |
| C6-6058-03-00  | GOUVERNEUR, VILLAGE OF                      |                           | CSO [GIGP2 DESIGN - GREEN INFRASTRUCTURE]                   | \$47,500         | NY0020117 |
| C1-5195-01-01  | GREAT NECK WATER POLLUTION CONTROL DISTRICT |                           | STP IMP [GIGP2 - ADV WW TREATMENT - BIOGAS MICROTURBINE]    | \$522,500        | NY0026999 |
| C3-5354-05-00  | GREENWOOD LAKE, VILLAGE OF                  | GREENWOOD LAKE PUBLIC LIB | NPS [GIGP2 - GI SW RETROFIT - POROUS PAVEMENT AND BIORETEI  | \$560,000        | NO SPDES  |
| C1-9211-01-00  | GROUP FOR THE EAST END                      | SPRING POND               | NPS [GIGP2 DESIGN - HYDROMOD - WATERBODY RESTORATION]       | \$20,000         | NO SPDES  |
| C5-5571-03-00  | LAKE GEORGE, VILLAGE OF                     |                           | STP IMP [GIGP2 - ADV WW TREATMENT - AEROTOR]                | \$650,000        | NY0094366 |
| C1-9212-01-00  | MCGANN MERCY HIGH SCHOOL                    |                           | NPS [GIGP2 - HYDROMOD - WETLAND RESTORATION]                | \$615,000        | NO SPDES  |
| C7-6304-03-00  | MINOA, VILLAGE OF                           |                           | STP IMP [GIGP2 - ADV WW TREAT - CONSTR WETLANDS AND THERI   | \$307,000        | NY0025461 |
| C7-6320-23-00  | ONONDAGA COUNTY                             | WAR MEMORIAL ARENA        | NPS [GIGP2 - GI SW CAPTURE AND REUSE]                       | \$712,500        | NO SPDES  |
| C6-6027-05-00  | ORLEANS, TOWN OF                            | LAFARGEVILLE STP          | STP IMP [GIGP2 - SECONDARY TREATMENT - SOLAR PANELS]        | \$297,000        | NY0121070 |
| C7-6361-05-00  | OWEGO, VILLAGE OF                           | CHESAPEAKE BAY NUTRIENT R | STP IMP [GIGP2 - ADV WW TREATMENT - ENERGY EFFICIENCY]      | \$712,500        | NY0029262 |
| C4-5409-03-00  | RENSSELAER, CITY OF                         | WASHINGTON AVE            | CSO [GIGP2 DESIGN - GREEN INFRASTRUCTURE]                   | \$44,500         | NO SPDES  |
| C1-5123-11-00  | RIVERHEAD, TOWN OF                          |                           | STP IMP [GIGP2 - ADV WW TREATMENT - WIND TURBINE]           | \$470,000        | NY0020061 |
| C8-6445-02-00  | ROCHESTER, CITY OF                          | TURNING POINT PARK        | NPS [GIGP2 - GI SW RETROFIT POROUS PAVEMENT AND BIORETEI    | \$552,000        | NO SPDES  |
| C3-5368-28-00  | ROCKLAND COUNTY                             |                           | STP IMP [GIGP2 DESIGN - SECONDARY TREAT - BIOGAS MICROTURI  | \$35,500         | NY0031895 |
| C6-6037-09-00  | ROME, CITY OF                               | ROD MILL SITE             | BRNFLD, NPS [GIGP2 - GI BRNFLD SW RETROFIT POROUS PAVEME    | \$660,000        | NO SPDES  |
| C4-5470-03-00  | SCHENECTADY COUNTY                          |                           | NPS [GIGP2 - GI SW RETROFIT POROUS PAVEMENT AND BIORETEI    | \$281,000        | NO SPDES  |
| C4-9213-01-00  | SCHENECTADY METROPLEX DEVELOPMENT A         | FRANKLIN STREET           | NPS [GIGP2 DESIGN - GI SW RETROFIT - GREEN STREETS]         | \$35,500         | NO SPDES  |
| C2-9214-01-00  | SOLAR ONE                                   |                           | NPS, SAWS [GIGP2 - GI AND DECEN WW TREATMENT]               | \$712,500        | NO SPDES  |
| C7-6310-04-00  | SOLVAY, VILLAGE OF                          | MATHEWS AVENUE            | NPS [GIGP2 - GI SW RETROFIT BIORETENTION]                   | \$252,000        | NO SPDES  |
| C7-9215-01-00  | ST. JOSEPH'S HOSPITAL HEALTH CENTER         |                           | NPS [GIGP2 - GI GREEN ROOF]                                 | \$712,500        | NO SPDES  |
| C5-5520-09-00  | TICONDEROGA, TOWN OF                        |                           | CSO [GIGP2 DESIGN - GREEN INFRASTRUCTURE]                   | \$28,000         | NY0036706 |
| C6-6043-03-00  | TRENTON, TOWN OF                            | HAMLET OF HINCKLEY        | SAWS [GIGP2 - DECENTRALIZED WASTEWATER TREATMENT]           | \$275,500        | NO SPDES  |
| C3-9217-01-00  | UNITED WATER NEW YORK                       |                           | NPS [GIGP2 DESIGN - GEN SW MGT - WATER CONS EDUCATION]      | \$33,000         | NO SPDES  |
| C6-6076-07-00  | UTICA, CITY OF                              |                           | NPS [GIGP2 - GI SW RETROFIT - SW STREET TREES AND BIORETEI  | \$401,000        | NO SPDES  |
| C3-5325-02-00  | WAPPINGERS FALLS, VILLAGE OF                |                           | NPS [GIGP2 - GI SW RETROFIT CONSTRUCTED WETLAND]            | \$634,000        | NO SPDES  |
| C5-9218-01-00  | WARREN COUNTY                               | BEACH ROAD                | NPS [GIGP2 - GI SW RETROFIT POROUS PAVEMENT]                | \$415,000        | NO SPDES  |

**NOTES:** E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS)

F Indicates the financing is anticipated to close by the end of the 2011 IUP period.

R Projects considered fundable in order to meet requirement for regional distribution of funds.

# 2012 FINAL CWSRF INTENDED USE PLAN

## Annual CWSRF Project Priority List

### Project Category: G

(in descending order of score)

| Project Number | Applicant Name   | Service Area                    | Project Description                     | Estimated Amount | SPDES No |
|----------------|------------------|---------------------------------|---|------------------|----------|
| C3-7355-03-00  | YONKERS, CITY OF | SAW MILL RIVER AT LARKIN PL/NPS | [GIGP2 - HYDROMOD - STREAM DAYLIGHTING] | \$645,000        | NO SPDES |

Category G Subtotal: \$15,000,000

Total Number of Projects: 40

F Projects \$ / #: \$0 / 0

Category A-E Subtotal: \$7,768,913,446

Grand Total Number of Projects: 723

NOTES: E These projects are subject to additional Federal requirements (per the USEPA Capitalization Grant to NYS)

F Indicates the financing is anticipated to close by the end of the 2011 IUP period.

R Projects considered fundable in order to meet requirement for regional distribution of funds.

**FY 2012 Clean Water State Revolving Fund Title VI Allotments**  
**(\$1,468,806,000 less 0.16% less \$9,741,800)<sup>1</sup>**

|                           | Title VI State<br>Allotment | 604(b)<br>Allotment | Allotment Less<br>604(b) |
|---------------------------|-----------------------------|---------------------|--------------------------|
| <b>Region 1</b>           | <b>107,870,000</b>          | <b>1,114,000</b>    | <b>106,756,000</b>       |
| Connecticut               | 17,489,000                  | 175,000             | 17,314,000               |
| Maine                     | 11,051,000                  | 111,000             | 10,940,000               |
| Massachusetts             | 48,470,000                  | 485,000             | 47,985,000               |
| New Hampshire             | 14,266,000                  | 143,000             | 14,123,000               |
| Rhode Island              | 9,586,000                   | 100,000             | 9,486,000                |
| Vermont                   | 7,008,000                   | 100,000             | 6,908,000                |
| <b>Region 2</b>           | <b>239,024,000</b>          | <b>2,445,000</b>    | <b>236,579,000</b>       |
| New Jersey                | 58,338,000                  | 583,000             | 57,755,000               |
| New York                  | 157,577,000                 | 1,576,000           | 156,001,000              |
| Puerto Rico               | 18,620,000                  | 186,000             | 18,434,000               |
| Virgin Islands            | 4,489,000                   | 100,000             | 4,389,000                |
| <b>Region 3</b>           | <b>156,563,000</b>          | <b>1,625,000</b>    | <b>154,938,000</b>       |
| Delaware                  | 7,008,000                   | 100,000             | 6,908,000                |
| District of Columbia      | 7,008,000                   | 100,000             | 6,908,000                |
| Maryland                  | 34,528,000                  | 345,000             | 34,183,000               |
| Pennsylvania              | 56,549,000                  | 565,000             | 55,984,000               |
| Virginia                  | 29,216,000                  | 292,000             | 28,924,000               |
| West Virginia             | 22,254,000                  | 223,000             | 22,031,000               |
| <b>Region 4</b>           | <b>180,448,000</b>          | <b>1,805,000</b>    | <b>178,643,000</b>       |
| Alabama                   | 15,963,000                  | 160,000             | 15,803,000               |
| Florida                   | 48,189,000                  | 482,000             | 47,707,000               |
| Georgia                   | 24,137,000                  | 241,000             | 23,896,000               |
| Kentucky                  | 18,169,000                  | 182,000             | 17,987,000               |
| Mississippi               | 12,862,000                  | 129,000             | 12,733,000               |
| North Carolina            | 25,765,000                  | 258,000             | 25,507,000               |
| South Carolina            | 14,625,000                  | 146,000             | 14,479,000               |
| Tennessee                 | 20,738,000                  | 207,000             | 20,531,000               |
| <b>Region 5</b>           | <b>305,555,000</b>          | <b>3,056,000</b>    | <b>302,499,000</b>       |
| Illinois                  | 64,565,000                  | 646,000             | 63,919,000               |
| Indiana                   | 34,405,000                  | 344,000             | 34,061,000               |
| Michigan                  | 61,384,000                  | 614,000             | 60,770,000               |
| Minnesota                 | 26,239,000                  | 262,000             | 25,977,000               |
| Ohio                      | 80,368,000                  | 804,000             | 79,564,000               |
| Wisconsin                 | 38,594,000                  | 386,000             | 38,208,000               |
| <b>Region 6</b>           | <b>108,825,000</b>          | <b>1,125,000</b>    | <b>107,700,000</b>       |
| Arkansas                  | 9,339,000                   | 100,000             | 9,239,000                |
| Louisiana                 | 15,694,000                  | 157,000             | 15,537,000               |
| New Mexico                | 7,008,000                   | 100,000             | 6,908,000                |
| Oklahoma                  | 11,534,000                  | 115,000             | 11,419,000               |
| Texas                     | 65,250,000                  | 653,000             | 64,597,000               |
| <b>Region 7</b>           | <b>79,084,000</b>           | <b>818,000</b>      | <b>78,266,000</b>        |
| Iowa                      | 19,321,000                  | 193,000             | 19,128,000               |
| Kansas                    | 12,886,000                  | 129,000             | 12,757,000               |
| Missouri                  | 39,575,000                  | 396,000             | 39,179,000               |
| Nebraska                  | 7,302,000                   | 100,000             | 7,202,000                |
| <b>Region 8</b>           | <b>46,973,000</b>           | <b>614,000</b>      | <b>46,359,000</b>        |
| Colorado                  | 11,419,000                  | 114,000             | 11,305,000               |
| Montana                   | 7,008,000                   | 100,000             | 6,908,000                |
| North Dakota              | 7,008,000                   | 100,000             | 6,908,000                |
| South Dakota              | 7,008,000                   | 100,000             | 6,908,000                |
| Utah                      | 7,522,000                   | 100,000             | 7,422,000                |
| Wyoming                   | 7,008,000                   | 100,000             | 6,908,000                |
| <b>Region 9</b>           | <b>146,733,000</b>          | <b>1,632,000</b>    | <b>145,101,000</b>       |
| American Samoa            | 7,734,000                   | 100,000             | 7,634,000                |
| Arizona                   | 9,642,000                   | 100,000             | 9,542,000                |
| California                | 102,101,000                 | 1,021,000           | 101,080,000              |
| Guam                      | 5,596,000                   | 100,000             | 5,496,000                |
| Hawaii                    | 11,057,000                  | 111,000             | 10,946,000               |
| Nevada                    | 7,008,000                   | 100,000             | 6,908,000                |
| Northern Marianas         | 3,595,000                   | 100,000             | 3,495,000                |
| Pacific Trust Territories | -                           | -                   | -                        |
| <b>Region 10</b>          | <b>56,505,000</b>           | <b>609,000</b>      | <b>55,896,000</b>        |
| Alaska                    | 8,544,000                   | 100,000             | 8,444,000                |
| Idaho                     | 7,008,000                   | 100,000             | 6,908,000                |
| Oregon                    | 16,127,000                  | 161,000             | 15,966,000               |
| Washington                | 24,826,000                  | 248,000             | 24,578,000               |
| <b>State Totals</b>       | <b>1,427,580,000</b>        | <b>14,843,000</b>   | <b>1,412,737,000</b>     |
| Indian Tribes             | 29,134,200                  | -                   | -                        |
| <b>Total All Funds</b>    | <b>1,456,714,200</b>        |                     |                          |

<sup>1</sup> The Fiscal Year 2012 Consolidated Appropriations Act included a \$10 million rescission to the Clean Water SRF. The \$9,741,800 reflects the portion of the rescission that was applied to the FY 2012 appropriated amount that remained after rescinding \$258,200 from previously unawarded funds.





STATE OF NEW YORK  
OFFICE OF THE ATTORNEY GENERAL

ERIC T. SCHNEIDERMAN  
ATTORNEY GENERAL

BARBARA D. UNDERWOOD  
SOLICITOR GENERAL

November 30, 2011

Joseph Martens  
Commissioner  
New York State Department of  
Environmental Conservation  
625 Broadway  
Albany, New York 12233-1010

RE: State Revolving Fund Program  
Attorney General's Certification

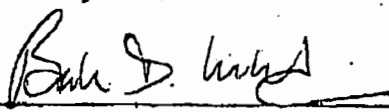
Dear Commissioner Martens:

Reference is hereby made to the Attorney General's certification made with respect to the State Revolving Fund Program and contained in our letter of February 26, 1990 to your predecessor, Commissioner Jorling. Such letter is incorporated herein in full by this reference. As of the date hereof, and after review of such matters as members of my staff have deemed relevant, including amendments to the State's implementing legislation and the hereinafter referenced Attachment 8, the Attorney General recertifies the matters certified in paragraphs (1), (2) and (3) of the February 26, 1990 letter. With respect to the certification contained in paragraph (3) thereof, reference is also made to the letter dated September 8, 2011 from the General Counsel of the Department of Environmental Conservation (the "Department") and to Attachment 8, as amended to the date hereof, to the Operating Agreement for Implementing and Managing the New York State Water Pollution Control Revolving Fund, between the Department and EPA.

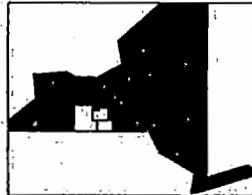
Very truly yours,

ERIC T. SCHNEIDERMAN  
Attorney General

By:

  
BARBARA D. UNDERWOOD  
Solicitor General

# Southern Tier Central Regional Planning & Development Board



8 Denison Parkway East

Suite 310

Corning, NY 14830

Tel: 607-962-5092

Fax: 607-962-3400

[www.stcplanning.org](http://www.stcplanning.org)

E-mail: [stcrpdb@stny.rr.com](mailto:stcrpdb@stny.rr.com)

Marcia D. Weber

Executive Director

*Yvette*

November 21, 2011

Roch Baamonde  
Grants & Contracts Management Branch  
USEPA Region 2  
290 Broadway, 27<sup>th</sup> Floor  
New York, New York 10007-1866

## RE: #11-28 2012 Clean Water State Revolving Fund Capitalization Grant

Dear Mr. Baamonde:

The Southern Tier Central Regional Planning and Development Board will not exercise its option to comment on your application for the above noted project. This letter certifies that you have fulfilled your Regional Clearinghouse obligations under the federal Intergovernmental Review Regulations.

If you have other applications in the future requiring Regional Clearinghouse review, please notify us of your intent.

Sincerely,

Marcia D. Weber  
Executive Director

ENVIRONMENTAL PROTECTION  
AGENCY REGION 2  
2011 NOV 25 PM 3:12  
GRANTS & CONTRACTS  
MANAGEMENT 152024

New York State Drinking Water State Revolving Fund Program  
Clearing House / Review Agency Response

September 2011

This is in response to the intergovernmental review request under Executive Order 12372, regarding the Federal Fiscal Year 2012 Public Water System Supervision (PWSS) Program Grant application to the United States Environmental Protection Agency (USEPA).

- ☒ support the application  
☐ support the application with attached comments  
☐ comments attached

In addition please indicate if you wish to be contacted for future Intergovernmental review of DWSRF Grant applications.

- ☐ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.  
☒ YES, continue to include this clearinghouse in the intergovernmental review process.

Print Name MARCIA D. WEBER Title Act. DIR.

Authorized Signature Marcia DeWeber Date 11/18/11

Please provide your response to the New York State Department of Health at:

Mr. Roger Sokol  
Bureau of Water Supply Protection  
Flanigan Square, Room 400  
547 River Street  
Troy, NY 12180

and to the USEPA at the following address by October 14, 2011:

Mr. Roch Baamonde  
Grants & Contract Management Branch  
USEPA Region 2  
290 Broadway, 27<sup>th</sup> Floor  
New York, New York 10007-1866

*Sorry for the delay!*

Jette

New York State Drinking Water State Revolving Fund Program  
Clearing House / Review Agency Response

September 2011

This is in response to the intergovernmental review request under Executive Order 12372, regarding the Federal Fiscal Year 2012 Public Water System Supervision (PWSS) Program Grant application to the United States Environmental Protection Agency (USEPA).

- \_\_\_ support the application  
\_\_\_ support the application with attached comments  
\_\_\_ comments attached

In addition please indicate if you wish to be contacted for future Intergovernmental review of DWSRF Grant applications.

- ☒ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.  
\_\_\_ YES, continue to include this clearinghouse in the intergovernmental review process.

Print Name Rudeen Armstrong Title Business Manager

Authorized Signature Rudeen Armstrong Date Sept. 21, 2011

Please provide your response to the New York State Department of Health at:

Mr. Roger Sokol  
Bureau of Water Supply Protection  
Flanigan Square, Room 400  
547 River Street  
Troy, NY 12180

and to the USEPA at the following address by October 14, 2011:

Mr. Roch Baamonde  
Grants & Contract Management Branch  
USEPA Region 2  
290 Broadway, 27<sup>th</sup> Floor  
New York, New York 10007-1866

2011 SEP 26 PM 12:57  
ENVIRONMENTAL PROTECTION  
AGENCY REGION 2  
GRANTS & CONTRACTS  
MANAGEMENT BRANCH



**Southern Tier West**  
**Regional Planning & Development Board**

*James Cooper, Chairman*  
*Richard T. Zink, Executive Director*

September 22, 2011

Roch Baamonde, Chief  
Grants & Contract Management Branch  
USEPA Region 2  
290 Broadway  
New York, New York 10007-1866

RE: Capitalization Grant for Clean Water State Revolving Fund  
STW# 11.027

Dear Roch Baamonde:

In accordance with the Intergovernmental Review Process (Executive Order 12372), the above noted project has been referred to, and reviewed by organizations in the Southern Tier West Region. There have been no comments received or made by this Areawide Clearinghouse at this time.

Should there be a change in the proposed project; a revised form 424 must be submitted to this office for a new review. If you have any questions regarding this matter, please feel free to contact me.

Sincerely,

*Sarah Phearsdorf*  
Sarah Phearsdorf  
Publications Associate

cc: Timothy Burns, NYS EFC

*Yvette*

ENVIRONMENTAL PROTECTION  
AGENCY REGION 2  
2011 SEP 27 AM 11:40  
GRANTS & CONTRACTS  
MANAGEMENT BRANCH

**New York State Department of Environmental Conservation**

**Division of Management & Budget Services, 10<sup>th</sup> Floor**

625 Broadway, Albany, New York 12233-5010

Phone: (518) 402-9228 • Fax: (518) 402-9023

Website: [www.dec.ny.gov](http://www.dec.ny.gov)



Joe Martens  
Commissioner

*Yvette  
66# 71*

Ms. Judith Enck  
Regional Administrator  
U.S. Environmental Protection Agency  
Region II Office  
290 Broadway  
New York, New York 10007-1866

SEP 30 2011

Attention: Mr. Roch Baamonde, Chief  
Grants & Contracts Management Branch

Re: New York Clean Water State Revolving Fund  
Capitalization Grant for 2012

Dear Ms. Enck:

Enclosed for your review and approval is an application for a Capitalization Grant for New York's Clean Water State Revolving Fund (CWSRF) Program that includes both the FFY 2012 allocation and the deobligated Construction Grants Program funds available pursuant to the August 26, 2010 EPA memo from Catherine Vass to Donna Vizian (attached).

This application requests the following funding:

|                               |               |
|-------------------------------|---------------|
| FFY 2012 CWSRF funds          | \$165,734,475 |
| Unliquidated Obligations (CG) | \$7,435,590   |
| Total                         | \$173,170,065 |

These funds will be used to provide low interest financings to eligible recipients for water quality protection projects.

The State and USEPA are partners in assisting New York's communities and not-for-profit organizations in preventing or abating water pollution problems. The continued cooperation that has been evidenced in the past will help assure the continued success of our mutual efforts.

We appreciate your efforts to review and award this grant application in a timely manner. If you have any questions about this application, call Bill Brizzell or David Bradley of the NYS Environmental Facilities Corporation (EFC) at 518-402-7396.

Sincerely,

*Nancy W. Lussier*

Nancy W. Lussier  
Director of Management and Budget

Enclosures: a/s

c: Ms. Thompkins, USEPA - Region II  
Mr. Vida, USEPA - Region II

EPA REGION 2  
CORRESPONDENCE  
CONTROL OFFICE

2011 OCT 11 PM 1:58

bc w/encl. (electronic):

File Copy through Brizzell

D. Bradley

T. Burns

M. Driscoll

M. Malinoski

D. Bullinger

N. Lussier

M. Giovannone

**NEW YORK STATE  
CLEAN WATER STATE REVOLVING FUND  
FEDERAL FISCAL YEAR 2012  
CAPITALIZATION GRANT APPLICATION**

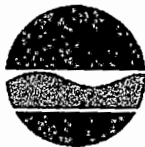
**SEPTEMBER 30, 2011**

**PREPARED FOR:  
U.S. ENVIRONMENTAL PROTECTION AGENCY  
REGION II OFFICE  
OFFICE OF POLICY AND MANAGEMENT  
GRANTS AND CONTRACTS MANAGEMENT BRANCH  
290 BROADWAY, 27<sup>TH</sup> FLOOR  
NEW YORK, NEW YORK 10007-1866**

**SUBMITTED BY:**



**STATE OF NEW YORK**



**DEPARTMENT OF  
ENVIRONMENTAL CONSERVATION  
Joseph J. Martens, Commissioner**



**ENVIRONMENTAL FACILITIES CORPORATION  
Matthew J. Driscoll, President and CEO**



**NEW YORK STATE CLEAN WATER STATE REVOLVING FUND  
FEDERAL FFY 2012 CAPITALIZATION GRANT  
CONTENTS**

**Federal Capitalization Grant Application Required Forms**

- Key Contacts Form (EPA Form 5700-54 and Additional Key Contacts)
- Application for Federal Assistance (SF-424) with original signature (including SF-424A Budget Information and Assurances for Non-Construction Programs (SF-424B).
- Pre-award Compliance Review Report (EPA Form 4700-4)
- Clearinghouse Coordination: Evidence of Compliance with Intergovernmental Review (State Agency Notice of Prospective Application for Federal Aid)
- Lobbying and Litigation Certification For Grants and Cooperative Agreements (EPA Form 5700-53)
- Method of Payment

**Source of State Match**

**Completed Checklist of Application Items to be Submitted**

**Memo from Catherine Vass to Donna Vizian dated August 26, 2010**

**Submitted under separate cover**

- FFY 2012 Intended Use Plan (IUP) – Will be sent under separate cover
- Attorney General's Certification
- Operating Agreement - No changes are proposed for the current approved Operating Agreement effective through December 31, 2012
- MBE/WBE Utilization under Federal Grants, etc. (EPA form 5700-52A) – Submitted under separate cover quarterly as required

**FEDERAL CAPITALIZATION GRANT APPLICATION**

**REQUIRED FORMS**

**KEY CONTACTS FORM**

**Authorized Representative:** *Original awards and amendments will be sent to this individual for review and acceptance, unless otherwise indicated.*

Name: Nancy Lussier

Title: Director of Management & Budget

Complete Address: NYS Department of Environmental Conservation, Division of Management & Budget  
10th Floor, 625 Broadway, Albany, New York 12233

Phone Number: 518-402-9228

**Payee:** *Individual authorized to accept payments.*

Name: Michael Giovannone

Title: Associate Accountant

Mail Address: NYS Department of Environmental Conservation  
625 Broadway, Albany, New York 12233

Phone Number: 518-402-9376

**Administrative Contact:** *Individual from Sponsored Program Office to contact concerning administrative matters (i.e., indirect cost rate computation, rebudgeting requests etc.)*

Name: Michael Malinoski

Title: Controller & Director of Corporate Operations

Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997

Phone Number: 518-486-9267

FAX Number: 518-486-9233

E-Mail Address: Michael.malinoski@efc.ny.gov

**Principal Investigator:** *Individual responsible for the technical completion of the proposed work.*

Name: Timothy P. Burns, P.E.

Title: Director of Engineering & Program Management

Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: Timothy.burns@efc.ny.gov

Web URL: www.efc.ny.gov



## ADDITIONAL KEY CONTACTS

(Use as many sheets as needed.)

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: William A. Brizzell, Jr., P.E.

Title: Program Manager of Technical Support Section

Mailing Address: NYS Environmental Facilities Corporation

625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: [william.brizzell@efc.ny.gov](mailto:william.brizzell@efc.ny.gov)

Web URL: [www.efc.ny.gov](http://www.efc.ny.gov)

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: Cheryle Webber

Title: Acting M/WBE Manager

Mailing Address: NYS Environmental Facilities Corporation

625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: [cheryle.webber@efc.ny.gov](mailto:cheryle.webber@efc.ny.gov)

Web URL: [www.efc.ny.gov](http://www.efc.ny.gov)

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

FAX Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Web URL: \_\_\_\_\_

# Application for Federal Assistance SF-424

Version 02

|  |  |  |  |   |  |
|--|--|--|--|---|--|
| *1. Type of Submission                                 |  | *2. Type of Application                          |  | *If Revision, select appropriate letter(s): |  |
| <input type="checkbox"/> Preapplication                |  | <input type="checkbox"/> New                     |  |   |  |
| <input checked="" type="checkbox"/> Application        |  | <input checked="" type="checkbox"/> Continuation |  | * Other (Specify)                           |  |
| <input type="checkbox"/> Changed/Corrected Application |  | <input type="checkbox"/> Revision                |  |   |  |

|                    |                            |
|--------------------|----------------------------|
| *3. Date Received: | 4. Application Identifier: |
|--------------------|----------------------------|

|                                |                                |
|--------------------------------|--------------------------------|
| 5a. Federal Entity Identifier: | *5b. Federal Award Identifier: |
|--------------------------------|--------------------------------|

## State Use Only:

|                            |                                  |
|----------------------------|----------------------------------|
| 6. Date Received by State: | 7. State Application Identifier: |
|----------------------------|----------------------------------|

## 8. APPLICANT INFORMATION:

\* a. Legal Name: NYS Department of Environmental Conservation

|   |                                       |
|---|---------------------------------------|
| * b. Employer/Taxpayer Identification Number (EIN/TIN):<br>14-6013200 | *c. Organizational DUNS:<br>806780912 |
|---|---------------------------------------|

## d. Address:

\*Street1: 625 Broadway  
Street 2:  
\*City: Albany  
County: Albany  
\*State: New York  
Province:  
Country: United States \*Zip/ Postal Code: 12233-5022

## e. Organizational Unit:

|  |                         |
|--|-------------------------|
| Department Name:<br>NYS Department of Environmental Conservation | Division Name:<br>Water |
|--|-------------------------|

## f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Mr. First Name: Timothy  
Middle Name: P.  
\*Last Name: Burns  
Suffix: P.E.

Title: Director of Engineering and Program Management

## Organizational Affiliation:

NYS Environmental Facilities Corporation

|                                 |                          |
|---------------------------------|--------------------------|
| *Telephone Number: 518-402-7396 | Fax Number: 518-402-7456 |
|---------------------------------|--------------------------|

\*Email: timothy.burns@efc.ny.gov



**Application for Federal Assistance SF-424**

Version 02

9. Type of Applicant 1: Select Applicant Type: A. State Government



Type of Applicant 2: Select Applicant Type:

- Select One -



Type of Applicant 3: Select Applicant Type:

- Select One -



\*Other (specify):

\*10. Name of Federal Agency:

United States Environmental Protection Agency - Region II

11. Catalog of Federal Domestic Assistance Number:

66-458

CFDA Title:

Capitalization Grant for Clean Water State Revolving Fund

\*12. Funding Opportunity Number:

\*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Statewide

\*15. Descriptive Title of Applicant's Project:

Capitalization Grant to provide funds for the New York State Clean Water State Revolving Fund Program established pursuant to Title VI of the Clean Water Act.

**Attach supporting documents as specified in agency instructions.**

# Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

\*a. Applicant  
New York State

\*b. Program/Project:  
New York State

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\*a. Start Date: 10/1/2011

\*b. End Date: 9/30/2018

## 18. Estimated Funding (\$):

\*a. Federal \$173,170,065.00

\*b. Applicant

\*c. State

\*d. Local

\*e. Other

\*f. Program Income

\*g. TOTAL \$207,804,078.00

## \*19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- ☒ a. This application was made available to the State under the Executive Order 12372 Process for review on 8/16/11  
☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.  
☐ c. Program is not covered by E.O. 12372

## \*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

☐ Yes ☒ No

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☒ \*\*I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

## Authorized Representative:

Prefix: Ms.

\*First Name: Nancy

Middle Name: W.

\*Last Name: Lussier

Suffix:

\*Title: Director of Management and Budget

\*Telephone Number: 518-402-9237

Fax Number: 518-402-9230

\*Email: nwlussie@gw.dec.state.ny.us

\*Signature of Authorized Representative:

Date Signed: 09-30-11

## Application for Federal Assistance SF-424

Version 02

### \*Applicant Federal Debt Delinquency Explanation

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

### SECTION C - NON-FEDERAL RESOURCES

| (a) Grant Program             | (b) Applicant | (c) State  | (d) Other Sources | (e) TOTALS   |
|-------------------------------|---------------|------------|-------------------|--------------|
| 8. CWSRF                      |               | 34,634,013 |                   | \$34,634,013 |
| 9.                            |               |            |                   | \$           |
| 10.                           |               |            |                   | \$           |
| 11.                           |               |            |                   | \$           |
| 12. Total (SUM OF LINES 8-11) |               | 34,634,013 |                   | \$34,634,013 |

### SECTION D - FORECASTED CASH NEEDS

| 13. Federal                        | Total for 1 <sup>st</sup> Year | 1 <sup>st</sup> Quarter | 2 <sup>nd</sup> Quarter | 3 <sup>rd</sup> Quarter | 4 <sup>th</sup> Quarter |
|------------------------------------|--------------------------------|-------------------------|-------------------------|-------------------------|-------------------------|
|                                    | \$173,170,065                  | \$                      | \$                      | \$173,170,065           | \$                      |
| 14. Non-Federal                    | 34,634,013                     |                         |                         | 34,634,013              |                         |
| 15. TOTAL (sum of lines 13 and 14) | \$207,804,078                  | \$                      | \$                      | \$207,804,078           | \$                      |

### SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

| (a) Grant Program              | FUTURE FUNDING PERIODS (years) |            |           |            |
|--------------------------------|--------------------------------|------------|-----------|------------|
|                                | (b) First                      | (c) Second | (d) Third | (e) Fourth |
| 16.                            | \$                             | \$         | \$        | \$         |
| 17.                            |                                |            |           |            |
| 18.                            |                                |            |           |            |
| 19.                            |                                |            |           |            |
| 20. TOTAL (sum of lines 16-19) | \$                             | \$         | \$        | \$         |

### SECTION F - OTHER BUDGET INFORMATION

|                     |                       |
|---------------------|-----------------------|
| 21. Direct Charges: | 22. Indirect Charges: |
| 23. Remarks:        |                       |

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**BUDGET INFORMATION - Non-Construction Programs****SECTION A - BUDGET SUMMARY**

| Grant Program<br>Function<br>or Activity<br>(a) | Catalog of Federal<br>Domestic Assistance<br>Number<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                |
|---|--|-----------------------------|--------------------|-----------------------|--------------------|----------------|
|   |  | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)   |
| 1. CWSRF  | 66.458   | \$                          | \$                 | \$ 166,243,262        | \$ 34,634,013      | \$ 200,877,275 |
| 2. Admin  |  |                             |                    | 6,926,803             |                    | 6,926,803      |
| 3.  |  |                             |                    |                       |                    |                |
| 4.  |  |                             |                    |                       |                    |                |
| 5. Totals                                       |  | \$                          | \$                 | \$173,170,065         | \$34,634,013       | \$207,804,078  |

**SECTION B - BUDGET CATEGORIES**

| 6. Object Class Categories             | GRANT PROGRAM, FUNCTION OR ACTIVITY |     |             |     | Total<br>(5)  |
|--|-------------------------------------|-----|-------------|-----|---------------|
|  | (1)                                 | (2) | (3)         | (4) |               |
| a. Personnel                           |                                     |     | 5,023,000   |     | 5,023,000     |
| b. Fringe Benefits                     |                                     |     | 1,466,000   |     | 1,466,000     |
| c. Travel                              |                                     |     | 42,000      |     | 42,000        |
| d. Equipment                           |                                     |     | 73,000      |     | 73,000        |
| e. Supplies                            |                                     |     | 84,000      |     | 84,000        |
| f. Contractual                         |                                     |     | 51,200      |     | 51,200        |
| g. Construction                        | 200,877,275                         |     |             |     | 200,877,275   |
| h. Other                               |                                     |     | 88,100      |     | 88,100        |
| i. Total Direct Charges (sum of 6a-6h) | 200,877,275                         |     | 6,827,300   |     | \$207,704,575 |
| j. Indirect Charges                    |                                     |     | 1,993,000   |     | 1,993,000     |
| k. TOTALS (sum of 6i and 6j)           | \$200,877,275                       | \$  | \$8,820,300 | \$  | \$209,697,575 |
|  |                                     |     |             |     |               |
| 7. Program Income                      | \$                                  | \$  | \$          | \$  | \$            |

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Standard Form 424A (Rev 4-2012)  
Prescribed by OMB Circular A-102



## CWSRF FFY12 BREAKDOWN OF ADMIN. PS and NPS EXPENSES

### Personal Service Costs:

See attached list 5,023,000

### Fringe benefits (29.19%)

1,466,000

Consists of health insurance, Social Security, pensions, Worker's Compensation, dental insurance, unemployment insurance, vision benefits, Medicare, Long Term Disability

### NPS expenses:

#### Travel

42,000

The Corporation's responsibilities with the Program will have staff travel to IUP hearings, application workshops, client assistance meetings, and bond pricing and closings in New York City for CWSRF bond issues

#### Equipment

73,000

Computer hardware such as servers (\$2,500 - \$5,000), CPUs, monitors, back up systems, security appliance for computer, Storage Area Network (SAN) (\$7,350 - \$17,150), printer, copiers, etc.

57,500

Office peripherals such as fax machines, file cabinets, desks and chairs, etc.

15,500

#### Supplies & Materials

84,000

Office supplies, computer software, hardware & maintenance

### Breakdown of supplies & materials:

Computer software and supplies: toner cartridges, color printer supplies; software purchase: content management/workflow (\$24,500 - \$50,000) security software, software updates, maintenance, etc.

68,700

General office supplies: pens, pencils, copier paper, folders, calendars, calculators, etc.

15,300

**CLEAN WATER STATE REVOLVING FUND PROGRAM  
FFY 2012 ADMINISTRATION BUDGET**

Grant Funds 4% Administration

FFY 2012 grant 6,629,379

| <u>FFY 2012 Projected Expenses<br/>Category</u> | <u>Total Eligible<br/>Administration</u> | <u>Total<br/>Fundable Eligible<br/>Administration Cost</u> |
|---|--|--|
| Personal Service                                | 5,023,000                                |  |
| Fringe Benefits (29.19%)                        | 1,466,000                                |  |
| Travel  | 42,000                                   |  |
| Equipment                                       | 73,000                                   |  |
| Supplies & Materials                            | 84,000                                   |  |
| Contractual Services                            | 51,200                                   |  |
| Other Budget                                    | 88,100                                   |  |
| Total Direct Expenses                           | 6,827,300                                |  |
| Indirect Costs (30.72%)                         | 1,993,000                                |  |
| EFC Expenses                                    | 8,820,300                                | 6,629,379  |
| Expected DEC Grant Draw Expenses                | 500,000                                  |  |
| Total Expenses                                  | 9,320,300                                |  |

# CWSRF FFY12 BREAKDOWN OF ADMIN. PS and NPS EXPENSES

|  |        |                  |
|--|--------|------------------|
| <b>Contractual Services</b>  |        | <b>51,200</b>    |
| Consultants  |        |                  |
| <b>Other Budget</b>  |        | <b>88,100</b>    |
| Printing of the CWSRF IUP, training, insurance, postage, telephone & miscellaneous, etc:                 |        |                  |
| Printing   | 8,000  |                  |
| Training (On going contract):  | 16,900 |                  |
| Training would consist of applicable computer training, and SRF related training, i.e. CIFA, NYWEA, etc. |        |                  |
| Insurance: CW share of auto, computer, liability and property insurance                                  | 8,900  |                  |
| Postage  | 9,800  |                  |
| Telephone  | 25,200 |                  |
| Miscellaneous: Subscriptions, books, journals and any other unforeseen program costs.                    | 19,300 |                  |
| <b>Indirect costs (30.72%)</b>   |        | <b>1,993,000</b> |
| <b>Expected DEC Grant Draw Expenses</b>  |        | <b>500,000</b>   |
| Personal service, fringe and indirect costs  |        |                  |
| <b>Grand Total</b>   |        | <b>9,320,300</b> |

Note: All items anticipated to be purchased in FFY2012 with a cost over \$5,000 are listed within the Administrative Budget. Prior approval from EPA will be obtained before the purchase of each and every item that has a cost of \$5,000 or more.

## ASSURANCES – NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

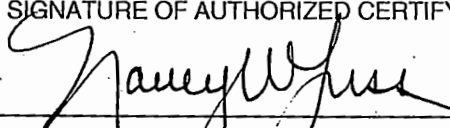
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of the project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 795), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provision of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a-7), the

Copeland Act (40 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplain in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential

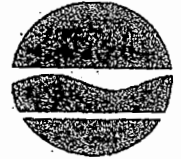
components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.)
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

|  |   |
|--|---|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL<br> | TITLE<br><b>Director of Management and Budget</b> |
| APPLICANT ORGANIZATION<br><b>New York State Department of Environmental Conservation</b>   | DATE SUBMITTED<br><i>September 30, 2011</i>       |



New York State Department of Environmental Conservation  
Division of Management & Budget Services, 10<sup>th</sup> Floor  
625 Broadway, Albany, New York 12233-5010  
Phone: (518) 402-9228 • Fax: (518) 402-9023  
Website: [www.dec.ny.gov](http://www.dec.ny.gov)



Peter M. Iwanowicz  
Acting Commissioner

December 2, 2010

Mr. Roch C. Baamonde, Chief  
Grants and Contracts Management Branch  
U.S. Environmental Protection Agency  
Region II  
290 Broadway, 29<sup>th</sup> Floor  
New York, NY 10007-1866

Dear Mr. Baamonde,

Attached for your information and review is our required submittal of Civil Rights form 4700-4, "Preaward Compliance Review Report for All Applicants Requesting Federal Financial Assistance". This submittal is intended to cover each one of the Department grants, for all monetary actions occurring on or after October 1, 2010.

We have made every effort to obtain answers to each of the questions in the form. However, we are not able to provide you with answers to question number VII. These grants are generally used to support Department programs that serve all of New York State, rather than a single specific geographic location and/or population. Consequently, questions that deal with a specific community or population are impossible to answer because the Department lacks access to that type of information on a statewide basis.

If you need any additional information on this matter, please contact Michael Giovannone by phone at (518) 402-9376 or e-mail at [mxgiovannone@gw.dec.state.ny.us](mailto:mxgiovannone@gw.dec.state.ny.us).

Sincerely,

Nancy W. Lussier  
Director, Management & Budget Services

Enclosure.

**United States Environmental Protection Agency  
Washington, DC 20460**

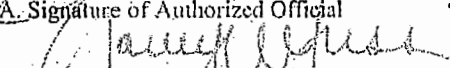
**Preamble Compliance Review Report for  
All Applicants and Recipients Requesting EPA Financial Assistance**

**Note: Read instructions on other side before completing form.**

|   |                        |
|---|------------------------|
| <b>I. Applicant/Recipient (Name, Address, State, Zip Code).</b><br>New York State Department of Environmental Conservation, 625 Broadway, Albany New York 12233   | <b>EPA Project No.</b> |
| <b>II. Is the applicant currently receiving EPA assistance? (See * instructions on reverse side)</b><br>Yes   |                        |
| <b>III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)</b><br>Four (4) cases pending. No determination at this time.  |                        |
| <b>IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)</b><br>None   |                        |
| <b>V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3))</b><br>None  |                        |
| <b>VI.* Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</b><br>a. Do the methods of notice accommodate those with impaired vision or hearing? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No<br>b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No<br>c. Does the notice identify a designated civil rights coordinator? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |                        |
| <b>VII.* Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))</b><br>N/A  |                        |
| <b>VIII.* Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166)</b><br>YES   |                        |
| <b>IX.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.</b><br>Juan Abadia (Director Bureau of Affirmative Action & Minority Women's Business Programs)<br>625 Broadway (10th floor) Albany, New York 12233-5064  |                        |
| <b>X* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.</b><br>CP-41/ Nondiscrimination in the Workplace (DEC Policy) <a href="http://internal.dec.state.ny.us/mbs/mbs68.html">http://internal.dec.state.ny.us/mbs/mbs68.html</a>   |                        |
| <b>XI. Will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? <input checked="" type="checkbox"/> Yes. If no, explain how a regulatory exception (40 C.F.R. § 7.70) applies. <input type="checkbox"/> No</b>  |                        |

**For the Applicant/Recipient**

I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.

|   |  |                           |
|---|--|---------------------------|
| <b>A. Signature of Authorized Official</b><br> | <b>B. Title of Authorized Official</b><br>Director, Management & Budget Services | <b>C. Date</b><br>12/2/10 |
|---|--|---------------------------|

**For the U.S. Environmental Protection Agency**

I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.

|  |  |                |
|--|--|----------------|
| <b>A. Signature of Authorized EPA Official</b> | <b>B. Title of Authorized EPA Official</b> | <b>C. Date</b> |
|--|--|----------------|

### **Clearinghouse Letters**

Attached are the following:

- List of Clearinghouse contacts who were contacted regarding the 2012 CWSRF Capitalization Grant.
- Sample letter from Michael Giovannone of NYSDEC dated **August 16, 2011**.
- NYS Certification of Distribution of Application Review Package

Note that the comments/responses to the intergovernmental review process were directed to USEPA.

**ADDRESSES**  
**NY State Reviewing Agencies**

|   |   |
|---|---|
| <p><b>ALBANY, RENSSELAER, SCHENECTADY, SARATOGA</b></p> <p><b>Mr. Rocco A. Ferraro</b><br/>1 Park Place Suite 102<br/>Albany, NY 12205<br/>Tel. (518) 453-0850<br/>Fax (518) 453-0856<br/>Email: <a href="mailto:Rocky@cdrpc.org">Rocky@cdrpc.org</a><br/>*Will accept electronic project proposals</p>                                     | <p><b>BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS</b></p> <p><b>Mr. Robert Augenstern</b><br/>Southern Tier East Planning Board<br/>375 State St.<br/>Binghamton, NY 13901-2385<br/>Tel. (607)724-1327<br/>Fax (607)724-1194<br/>Email: <a href="mailto:raugen@steny.org">raugen@steny.org</a><br/>*Will <u>not</u> accept electronic project proposals</p>  |
| <p><b>CHAUTAUQUA, CATTARAUGUS, ALLEGANY</b></p> <p><b>Mr. Brian Schrantz</b><br/>Southern Tier West RPB<br/>4039 Route 219, Suite 200<br/>Salamanca, NY 14779-9625<br/>Tel. (716) 945-5301<br/>Email: <a href="mailto:Bschrantz@southerntierwest.org">Bschrantz@southerntierwest.org</a><br/>*Will accept electronic project proposals.</p> | <p><b>CHEMUNG, SCHUYLER, STEUBEN</b></p> <p><b>Ms. Marcia Weber</b><br/>Southern Tier Central<br/>Regional Planning Bd.<br/>8 Denison Parkway East, Suite 310<br/>Corning, NY 14830<br/>Tel. (607)962-5092<br/>Fax (607)962-3400</p>  |
| <p><b>COLUMBIA</b></p> <p>Waive right to review all proposed projects</p>   | <p><b>DUTCHESS</b></p> <p>Waive right to review all proposed projects</p>   |
| <p><b>ERIE, NIAGARA</b></p> <p>Waive right to review all proposed projects</p>  | <p><b>FRANKLIN</b></p> <p><b>Mr. Brad Jackson, Executive Director</b><br/>Franklin County Industrial<br/>Development Agency<br/>10 Elm Street, Suite 2<br/>Malone, NY 12953-1543<br/>Tel. (518) 483-9472<br/>Fax (518) 483-2900<br/>Email: <a href="mailto:bjackson@franklinida.org">bjackson@franklinida.org</a><br/>*Will accept electronic project proposals<br/>*Only reviewing proposals that are specific to Franklin County.</p> |

|  |  |
|--|--|
| <p><b>FULTON</b></p> <p>Waive right to review all proposed projects</p>  | <p><b>GENESSEE, LIVINGSTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING</b></p> <p>Ms. Rudeen Armstrong<br/>Genesee/FingerLakes<br/>Regional Planning Cncl.<br/>City Place, 50 West Main Street, Suite 8107<br/>Rochester, NY 14614<br/>Tel. (585) 454-0190<br/>Fax (585) 454-0191<br/>*Will <u>not</u> accept electronic project proposals</p>                                |
| <p><b>GREENE</b></p> <p>Waive right to review all proposed projects</p>  | <p><b>JEFFERSON</b></p> <p>Mr. Bruce Armstrong<br/>Jefferson County Planning Dept.<br/>175 Arsenal St.<br/>Watertown, NY 13601<br/>Tel. (315)785-3144<br/>Fax (315)785-5092<br/>Email: <a href="mailto:donc@co.jefferson.ny.us">donc@co.jefferson.ny.us</a><br/><a href="mailto:BruceA@co.jefferson.ny.us">BruceA@co.jefferson.ny.us</a><br/>*Will accept electronic project proposals</p> |
| <p><b>LEWIS</b></p> <p>Waive right to review all proposed projects</p>   | <p><b>MONTGOMERY</b></p> <p>Waive right to review all proposed projects</p>  |
| <p><b>NASSAU</b></p> <p>Waive right to review all proposed projects</p>  | <p><b>NEW YORK CITY and<br/>NEW YORK STATE DEPARTMENT OF<br/>ENVIRONMENTAL CONSERVATION</b></p> <p>Waive right to review all proposed projects</p>   |
| <p><b>ORANGE</b></p> <p>Mr. David Church<br/>Orange County Planning Dept.<br/>124 Main St.<br/>Goshen, NY 10924<br/>Tel. (845) 291-2318<br/>Fax (845) 291-2533</p> | <p><b>OSWEGO, ONONDAGA, MADISON, CAYUGA</b></p> <p>Ms. Carol Faucher or David Bottar<br/>Central New York Regional<br/>Planning Board<br/>126 N. Salina Street<br/>Syracuse, NY 13202-1050<br/>Tel. (315)422-8276<br/>Fax (315)422-9051<br/>Email: <a href="mailto:mail@cnvrpdb.org">mail@cnvrpdb.org</a><br/>*Will <u>not</u> accept electronic project proposals</p>                     |

|   |   |
|---|---|
| <p><b>PUTNAM</b></p> <p>Waive right to review all proposed projects</p>   | <p><b>ROCKLAND</b></p> <p>Ms. Arlene Miller<br/> Rockland County Department of Planning<br/> Robert Yeager Health Center, Building T<br/> 50 Sanatorium Road<br/> Pomona, NY 10970<br/> Tel. (845) 364-3434<br/> Fax (914) 638-5686<br/> Email: <a href="mailto:Millera@co.rockland.ny.us">Millera@co.rockland.ny.us</a><br/> *Will accept electronic project proposals</p> |
| <p><b>ST. LAWRENCE</b></p> <p>Waive right to review all proposed projects</p>   | <p><b>SUFFOLK</b></p> <p>Waive right to review all proposed projects</p>  |
| <p><b>SULLIVAN</b></p> <p>Waive right to review all proposed projects</p>   | <p><b>ULSTER</b></p> <p>Mr. Dennis Doyle<br/> Ulster County Planning Board<br/> Box 1800<br/> 244 Fair St.<br/> Kingston, NY 12401<br/> Tel. (845) 340-3339<br/> Fax (845) 340-3429<br/> Email: <a href="mailto:planning@co.ulster.ny.us">planning@co.ulster.ny.us</a></p>  |
| <p><b>WESTCHESTER</b></p> <p>Mr. Jerry Mulligan<br/> Commissioner of Planning<br/> Westchester County Department of Planning<br/> 148 Martine Avenue, Room 432<br/> White Plains, NY 10601-4704<br/> Tel. (914) 995-4402<br/> Email: <a href="mailto:Jem1@westchester.gov.com">Jem1@westchester.gov.com</a><br/> and<br/> Mr. Edward Burroughs, Deputy Commissioner<br/> same address as above<br/> Tel. (914) 995-4405<br/> Email: <a href="mailto:EEB6@westchester.gov.com">EEB6@westchester.gov.com</a><br/> *Will accept electronic project proposals<br/> *Only reviewing proposals with a threshold of \$200,000.</p> | <p><b>HERKIMER, ONEIDA</b></p> <p>Waive right to review all proposed projects</p> <p><b>CLINTON, ESSEX, HAMILTON, WARREN,<br/>WASHINGTON</b></p> <p>Waive right to review all proposed projects</p>   |



**New York State Department of Environmental Conservation**  
**Division of Management & Budget Services, 10<sup>th</sup> Floor**  
625 Broadway, Albany, New York 12233-5010  
**Phone:** (518) 402-9228 • **Fax:** (518) 402-9023  
**Website:** [www.dec.ny.gov](http://www.dec.ny.gov)



August 16, 2011

Mr. Brian Schrantz  
Southern Tier West RPB  
4039 Route 219, Suite 200  
Salamanca, NY 14779-9625

Dear Mr. Schrantz:

Enclosed for your review and comment is the Federal Standard Form 424 "Application for Federal Assistance" as our request for intergovernmental review of the Federal Fiscal Year 2012 Clean Water State Revolving Fund Capitalization Grant application to the USEPA. Award of the proposed Federal Grant will enable the Department of Environmental Conservation to continue to capitalize the New York Clean Water State Revolving Fund. We are notifying Area-Wide Clearinghouses of our intent to apply for Federal aid for this program.

Please provide your response to the following address by September 16, 2011 and a copy to Mr. Timothy P. Burns, P.E., of the NYS Environmental Facilities Corporation, in the enclosed envelope:

Roch Baamonde, Chief  
Grants & Contract Management Branch  
USEPA Region 2  
290 Broadway  
New York, New York 10007-1866

To assist in your response you could complete the enclosed form, sign and return. Should you have any questions, please feel free to phone the Program Director, Mr. William A. Brizzell, P.E., at (518) 402-7396.

Sincerely,



Michael Giovannone  
Associate Accountant

wb/nm

Enclosures: a/s

c: Mr. Timothy P. Burns, P.E. - NYSEFC

**New York State Clean Water State Revolving Fund  
Clearinghouse/Review Agency Response**

**August 2011**

This is in response to the intergovernmental review process regarding the 2012 Clean Water State Revolving Fund (CWSRF) Capitalization Grant application for the New York State to the USEPA.

- ☐ support the application
- ☐ support the application with attached comments
- ☐ comments attached

In addition please indicate if you wish to be contacted for future intergovernmental review of CWSRF Capitalization Grant application.

- ☐ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.
- ☐ YES, continue to include this clearinghouse in the intergovernmental review process.

\_\_\_\_\_  
(date)

\_\_\_\_\_  
Brian Schrantz  
Southern Tier West RPB



# LOBBYING AND LITIGATION CERTIFICATION FOR GRANTS AND COOPERATIVE AGREEMENTS\*

## INSTRUCTIONS:

\*At project completion, complete this form pursuant to the 2001 Department of Veterans Affairs and Housing and Urban Development, and Independent Appropriations Act, Public Law 106-377, Section 424 and 2000 Department of Veterans Affairs and Housing and Urban Development, and Independent Appropriations Act, Public Law 106-74, Section 426 and any other subsequent Appropriation Act requirements.

Please mail this form to your EPA Grant Specialist within 90 days of project completion. DO NOT send this information to the Office of Management & Budget.

Assistance Agreement Number(s):

66-458

I hereby certify that none of these funds have been used to engage in the lobbying of the Federal Government or in litigation against the United States unless authorized under existing law.

*Nancy Lussier*  
Signature of the Chief Executive Officer

*September 30, 2011*  
Date

*Nancy Lussier*  
Print Name

**Burden Statement** - The annual public reporting and record keeping burden for this collection of information is estimated to average 5 minutes per respondent. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for EPA's regulations are listed in 40 CFR Part 9 and 48 CFR Chapter 15.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Regulatory Information Division, U.S. Environmental Protection Agency, Ariel Rios Building, 1200 Pennsylvania Avenue, N.W., Mail Code 3213A, Washington, DC 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, N.W., Washington, DC 20503, Attention: Desk Officer for EPA. Include the EPA ICR number and OMB control number in any correspondence.

## METHOD OF PAYMENT



**Automated Standard Application for Payments (ASAP)**

January 2012 or upon grant award

\$173,170,065

## REVIEWING AGENCIES

The Application Review Package has been sent to the Reviewing Agencies checked below:

- ☐ United States Environmental Protection Agency Region II, Grants and Contracts Management

### AREAWIDE REVIEWING AGENCIES:

|  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> ALBANY, RENNELAER, SCHENECTADY, SARATOGA                                 | <input checked="" type="checkbox"/> GENESSE, LIVINGTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING | <input checked="" type="checkbox"/> ULSTER                         |
| <input checked="" type="checkbox"/> BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS | <input checked="" type="checkbox"/> JEFFERSON   | <input checked="" type="checkbox"/> WESTCHESTER                    |
| <input checked="" type="checkbox"/> CHAUTAUQUA, CATTARAUGUS, ALLEGANY  | <input checked="" type="checkbox"/> ORANGE  | <input type="checkbox"/> ALL COUNTIES                              |
| <input checked="" type="checkbox"/> CHEMUNG, SCHUYLER, STEUBEN   | <input checked="" type="checkbox"/> OSWEGO, ONONDAGA, MADISON, CAYUGA   | <input type="checkbox"/> NO APPLICABLE COUNTIES REVIEWING AGENCIES |
| <input checked="" type="checkbox"/> ERIE, NIAGARA  | <input checked="" type="checkbox"/> PUTNAM  |  |
| <input checked="" type="checkbox"/> FRANKLIN   | <input checked="" type="checkbox"/> ROCKLAND  |  |

The undersigned certifies that an Application Review Package consisting of the items checked below has been sent to the required Reviewing Agencies for review.

- (1) FEDERAL FORM 424 (Box 16 must be completed)
- (2) PROJECT SUMMARY DESCRIBING PROPOSED ACTIVITIES
- (3) CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE
- (4) SITE LOCATION MAP (For construction projects only)
- (5) PROJECT INFORMATION FORM (For construction projects only)

This Application Review Package will not be processed unless this form is signed and dated below.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date signed

\_\_\_\_\_  
Title

# SOURCE OF STATE MATCH

## NEW YORK STATE CLEAN WATER CAPITAL BUDGET

| SFY                 | AMOUNT<br>APPROPRIATED | CUMULATIVE    |
|---------------------|------------------------|---------------|
| 89-90 through 02-03 | \$462,613,000          |               |
| 03-04               | \$30,174,000           | \$492,787,000 |
| 04-05               | \$28,893,000           | \$521,680,000 |
| 05-06               | \$29,602,000           | \$551,282,000 |
| 06-07               | \$29,600,000           | \$580,882,000 |
| 07-08               | \$29,600,000           | \$610,482,000 |
| 08-09               | \$29,600,000           | \$640,082,000 |
| 09-10               | \$29,600,000           | \$669,682,000 |
| 10-11               | \$29,600,000           | \$699,282,000 |
| 11-12               | <u>\$35,000,000</u>    | \$734,282,000 |
|                     | <b>\$734,282,000</b>   |               |

### REQUIRED STATE MATCH (@ 20%)

| FFY                 | FEDERAL GRANT          | STATE MATCH          |
|---------------------|------------------------|----------------------|
| 89-90 through 02-03 | \$2,309,586,281        | \$461,917,255        |
| 03-04               | \$146,280,420          | \$29,256,084         |
| 04-05               | \$118,939,293          | \$23,787,859         |
| 05-06               | \$96,656,373           | \$19,331,275         |
| 06-07               | \$118,135,611          | \$23,627,122         |
| 07-08               | \$75,108,221           | \$15,021,644         |
| 08-09               | \$75,109,023           | \$15,021,805         |
| 09-10               | \$224,898,000          | \$44,979,600         |
| 10-11               | \$162,993,000          | \$32,598,600         |
| "no year" CG funds  | \$64,244,506           | \$12,848,901         |
| 11-12               | <u>\$173,170,065</u>   | \$34,634,013         |
|                     | <b>\$3,565,120,793</b> | <b>\$713,024,158</b> |

SFY State fiscal year = April 1 to March 31

FFY Federal fiscal year = October 1 to September 30



**ADDITIONAL ITEMS SENT UNDER SEPARATE COVER**

FFY 2012 Intended Use Plan (IUP)

Attorney General's Certification

Operating Agreement

No changes are proposed for the current approved Operating Agreement effective through December 31, 2012

MBE/WBE Utilization under Federal Grants, etc.

Submitted under separate cover quarterly as required

**New York State Department of Environmental Conservation**

**Division of Management & Budget Services, 10<sup>th</sup> Floor**

625 Broadway, Albany, New York 12233-5010

**Phone:** (518) 402-9228 • **Fax:** (518) 402-9023

**Website:** [www.dec.ny.gov](http://www.dec.ny.gov)



Joe Martens  
Commissioner

Ms. Judith Enck  
Regional Administrator  
U.S. Environmental Protection Agency  
Region II Office  
290 Broadway  
New York, New York 10007-1866

SEP 30 2011

**Attention:** Mr. Roch Baamonde; Chief  
Grants & Contracts Management Branch

**Re:** New York Clean Water State Revolving Fund  
Capitalization Grant for 2012

Dear Ms. Enck:

Enclosed for your review and approval is an application for a Capitalization Grant for New York's Clean Water State Revolving Fund (CWSRF) Program that includes both the FFY 2012 allocation and the deobligated Construction Grants Program funds available pursuant to the August 26, 2010 EPA memo from Catherine Vass to Donna Vizian (attached).

This application requests the following funding:

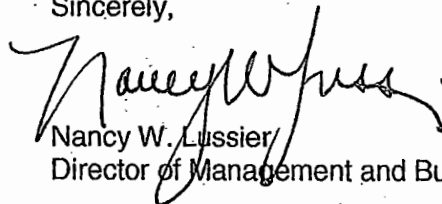
|                               |               |
|-------------------------------|---------------|
| FFY 2012 CWSRF funds          | \$165,734,475 |
| Unliquidated Obligations (CG) | \$7,435,590   |
| Total                         | \$173,170,065 |

These funds will be used to provide low interest financings to eligible recipients for water quality protection projects.

The State and USEPA are partners in assisting New York's communities and not-for-profit organizations in preventing or abating water pollution problems. The continued cooperation that has been evidenced in the past will help assure the continued success of our mutual efforts.

We appreciate your efforts to review and award this grant application in a timely manner. If you have any questions about this application, call Bill Brizzell or David Bradley of the NYS Environmental Facilities Corporation (EFC) at 518-402-7396.

Sincerely,

  
Nancy W. Lussier  
Director of Management and Budget

Enclosures: a/s

c: Ms. Thompkins, USEPA - Region II  
Mr. Vida, USEPA - Region II

**NEW YORK STATE  
CLEAN WATER STATE REVOLVING FUND  
FEDERAL FISCAL YEAR 2012  
CAPITALIZATION GRANT APPLICATION**

**SEPTEMBER 30, 2011**

**PREPARED FOR:  
U.S. ENVIRONMENTAL PROTECTION AGENCY  
REGION II OFFICE  
OFFICE OF POLICY AND MANAGEMENT  
GRANTS AND CONTRACTS MANAGEMENT BRANCH  
290 BROADWAY, 27<sup>TH</sup> FLOOR  
NEW YORK, NEW YORK 10007-1866**

**SUBMITTED BY:**



**STATE OF NEW YORK**

**DEPARTMENT OF  
ENVIRONMENTAL CONSERVATION  
Joseph J. Martens, Commissioner**



**ENVIRONMENTAL FACILITIES CORPORATION  
Matthew J. Driscoll, President and CEO**

**NEW YORK STATE CLEAN WATER STATE REVOLVING FUND  
FEDERAL FFY 2012 CAPITALIZATION GRANT  
CONTENTS**

**Federal Capitalization Grant Application Required Forms**

- Key Contacts Form (EPA Form 5700-54 and Additional Key Contacts)
- Application for Federal Assistance (SF-424) with original signature (including SF-424A Budget Information and Assurances for Non-Construction Programs (SF-424B).
- Pre-award Compliance Review Report (EPA Form 4700-4)
- Clearinghouse Coordination: Evidence of Compliance with Intergovernmental Review (State Agency Notice of Prospective Application for Federal Aid)
- Lobbying and Litigation Certification For Grants and Cooperative Agreements (EPA Form 5700-53)
- Method of Payment

**Source of State Match**

**Completed Checklist of Application Items to be Submitted**

**Memo from Catherine Vass to Donna Vizian dated August 26, 2010**

**Submitted under separate cover**

- FFY 2012 Intended Use Plan (IUP) – Will be sent under separate cover
- Attorney General's Certification
- Operating Agreement - No changes are proposed for the current approved Operating Agreement effective through December 31, 2012
- MBE/WBE Utilization under Federal Grants, etc. (EPA form 5700-52A) – Submitted under separate cover quarterly as required

**FEDERAL CAPITALIZATION GRANT APPLICATION**

**REQUIRED FORMS**

**KEY CONTACTS FORM**

**Authorized Representative:** *Original awards and amendments will be sent to this individual for review and acceptance, unless otherwise indicated.*

Name: Nancy Lussier

Title: Director of Management & Budget

Complete Address: NYS Department of Environmental Conservation, Division of Management & Budget  
10th Floor, 625 Broadway, Albany, New York 12233

Phone Number: 518-402-9228

**Payee:** *Individual authorized to accept payments.*

Name: Michael Giovannone

Title: Associate Accountant

Mail Address: NYS Department of Environmental Conservation  
625 Broadway, Albany, New York 12233

Phone Number: 518-402-9376

**Administrative Contact:** *Individual from Sponsored Program Office to contact concerning administrative matters (i.e., indirect cost rate computation, rebudgeting requests etc.)*

Name: Michael Malinoski

Title: Controller & Director of Corporate Operations

Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997

Phone Number: 518-486-9267

FAX Number: 518-486-9233

E-Mail Address: Michael.malinoski@efc.ny.gov

**Principal Investigator:** *Individual responsible for the technical completion of the proposed work.*

Name: Timothy P. Burns, P.E.

Title: Director of Engineering & Program Management

Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: Timothy.burns@efc.ny.gov

Web URL: www.efc.ny.gov

**ADDITIONAL KEY CONTACTS***(Use as many sheets as needed.)*

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: William A. Brizzell, Jr., P.E.

Title: Program Manager of Technical Support Section

Mailing Address: NYS Environmental Facilities Corporation

625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: william.brizzell@efc.ny.gov

Web URL: www.efc.ny.gov

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: Cheryle Webber

Title: Acting M/WBE Manager

Mailing Address: NYS Environmental Facilities Corporation

625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: cheryle.webber@efc.ny.gov

Web URL: www.efc.ny.gov

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

FAX Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Web URL: \_\_\_\_\_



# **Application for Federal Assistance SF-424**

Version 02

|  |  |   |
|--|--|---|
| *1. Type of Submission                                 | *2. Type of Application                          | *If Revision, select appropriate letter(s): |
| <input type="checkbox"/> Preapplication                | <input type="checkbox"/> New                     |   |
| <input checked="" type="checkbox"/> Application        | <input checked="" type="checkbox"/> Continuation | * Other (Specify)                           |
| <input type="checkbox"/> Changed/Corrected Application | <input type="checkbox"/> Revision                |   |

|                    |                            |
|--------------------|----------------------------|
| *3. Date Received: | 4. Application Identifier: |
|--------------------|----------------------------|

|                                |                                |
|--------------------------------|--------------------------------|
| 5a. Federal Entity Identifier: | *5b. Federal Award Identifier: |
|--------------------------------|--------------------------------|

## **State Use Only:**

|                            |                                  |
|----------------------------|----------------------------------|
| 6. Date Received by State: | 7. State Application Identifier: |
|----------------------------|----------------------------------|

## **8. APPLICANT INFORMATION:**

\* a. Legal Name: NYS Department of Environmental Conservation

|   |                                       |
|---|---------------------------------------|
| * b. Employer/Taxpayer Identification Number (EIN/TIN):<br>14-6013200 | *c. Organizational DUNS:<br>806780912 |
|---|---------------------------------------|

## **d. Address:**

\*Street1: 625 Broadway  
Street 2:  
\*City: Albany  
County: Albany  
\*State: New York  
Province:  
Country: United States \*Zip/ Postal Code: 12233-5022

## **e. Organizational Unit:**

|  |                         |
|--|-------------------------|
| Department Name:<br>NYS Department of Environmental Conservation | Division Name:<br>Water |
|--|-------------------------|

## **f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: Mr. First Name: Timothy  
Middle Name: P.  
\*Last Name: Burns  
Suffix: P.E.

Title: Director of Engineering and Program Management

Organizational Affiliation:  
NYS Environmental Facilities Corporation

\*Telephone Number: 518-402-7396 Fax Number: 518-402-7456

\*Email: timothy.burns@efc.ny.gov

**Application for Federal Assistance SF-424**

Version 02.

9. Type of Applicant 1: Select Applicant Type: **A. State Government**



Type of Applicant 2: Select Applicant Type:

- Select One -



Type of Applicant 3: Select Applicant Type:

- Select One -



\*Other (specify):

\*10. Name of Federal Agency:

**United States Environmental Protection Agency - Region II**

11. Catalog of Federal Domestic Assistance Number:

**66-458**

CFDA Title:

**Capitalization Grant for Clean Water State Revolving Fund**

\*12. Funding Opportunity Number:

\*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

**Statewide**

\*15. Descriptive Title of Applicant's Project:

**Capitalization Grant to provide funds for the New York State Clean Water State Revolving Fund Program established pursuant to Title VI of the Clean Water Act.**

**Attach supporting documents as specified in agency instructions.**

**Application for Federal Assistance SF-424**

Version 02

16. Congressional Districts Of:

\*a. Applicant  
New York State

\*b. Program/Project:  
New York State

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\*a. Start Date: 10/1/2011

\*b. End Date: 9/30/2018

18. Estimated Funding (\$):

\*a. Federal \$173,170,065.00

\*b. Applicant

\*c. State

\$34,634,013.00

\*d. Local

\*e. Other

\*f. Program Income

\*g. TOTAL \$207,804,078.00

\*19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- ☒ a. This application was made available to the State under the Executive Order 12372 Process for review on 8/16/11  
☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.  
☐ c. Program is not covered by E.O. 12372

\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

☐ Yes ☒ No

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☒ \*\*I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: Ms.

\*First Name: Nancy

Middle Name: W.

\*Last Name: Lussier

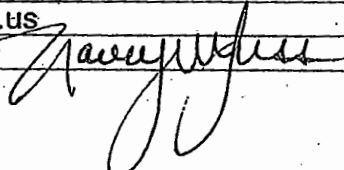
Suffix:

\*Title: Director of Management and Budget

\*Telephone Number: 518-402-9237

Fax Number: 518-402-9230

\*Email: nwlussie@gw.dec.state.ny.us

\*Signature of Authorized Representative: 

Date Signed: 09-30-11

**Application for Federal Assistance SF-424**

Version 02

**\*Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

| SECTION C - NON-FEDERAL RESOURCES   |                                |                         |                         |                         |                         |
|---|--------------------------------|-------------------------|-------------------------|-------------------------|-------------------------|
| (a) Grant Program   | (b) Applicant                  | (c) State               | (d) Other Sources       | (e) TOTALS              |                         |
| 8. CWSRF  |                                | 34,634,013              |                         | \$34,634,013            |                         |
| 9.  |                                |                         |                         | \$                      |                         |
| 10.   |                                |                         |                         | \$                      |                         |
| 11.   |                                |                         |                         | \$                      |                         |
| 12. Total (SUM OF LINES 8-11)   |                                | 34,634,013              |                         | \$34,634,013            |                         |
| SECTION D - FORECASTED CASH NEEDS   |                                |                         |                         |                         |                         |
| 13. Federal   | Total for 1 <sup>st</sup> Year | 1 <sup>st</sup> Quarter | 2 <sup>nd</sup> Quarter | 3 <sup>rd</sup> Quarter | 4 <sup>th</sup> Quarter |
|   | \$173,170,065                  | \$                      | \$                      | \$173,170,065           | \$                      |
| 14. Non-Federal   | 34,634,013                     |                         |                         | 34,634,013              |                         |
| 15. TOTAL (sum of lines 13 and 14)  | \$207,804,078                  | \$                      | \$                      | \$207,804,078           | \$                      |
| SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT |                                |                         |                         |                         |                         |
| (a) Grant Program   | FUTURE FUNDING PERIODS (years) |                         |                         |                         |                         |
|   | (b) First                      | (c) Second              | (d) Third               | (e) Fourth              |                         |
| 16.   | \$                             | \$                      | \$                      | \$                      |                         |
| 17.   |                                |                         |                         |                         |                         |
| 18.   |                                |                         |                         |                         |                         |
| 19.   |                                |                         |                         |                         |                         |
| 20. TOTAL (sum of lines 16-19)  | \$                             | \$                      | \$                      | \$                      |                         |
| SECTION F - OTHER BUDGET INFORMATION  |                                |                         |                         |                         |                         |
| 21. Direct Charges:   |                                | 22. Indirect Charges:   |                         |                         |                         |
| 23. Remarks:  |                                |                         |                         |                         |                         |

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**BUDGET INFORMATION - Non-Construction Programs****SECTION A - BUDGET SUMMARY**

| Grant Program<br>Function<br>or Activity<br>(a) | Catalog of Federal<br>Domestic Assistance<br>Number<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                |
|---|--|-----------------------------|--------------------|-----------------------|--------------------|----------------|
|   |  | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)   |
| 1. CWSRF  | 66.458   | \$                          | \$                 | \$ 166,243,262        | \$ 34,634,013      | \$ 200,877,275 |
| 2. Admin  |  |                             |                    | 6,926,803             |                    | 6,926,803      |
| 3.  |  |                             |                    |                       |                    |                |
| 4.  |  |                             |                    |                       |                    |                |
| 5. Totals                                       |  | \$                          | \$                 | \$173,170,065         | \$34,634,013       | \$207,804,078  |

**SECTION B - BUDGET CATEGORIES**

| 6. Object Class Categories             | GRANT PROGRAM, FUNCTION OR ACTIVITY |     |             |     | Total<br>(5)  |
|--|-------------------------------------|-----|-------------|-----|---------------|
|  | (1)                                 | (2) | (3)         | (4) |               |
| a. Personnel                           |                                     |     | 5,023,000   |     | 5,023,000     |
| b. Fringe Benefits                     |                                     |     | 1,466,000   |     | 1,466,000     |
| c. Travel                              |                                     |     | 42,000      |     | 42,000        |
| d. Equipment                           |                                     |     | 73,000      |     | 73,000        |
| e. Supplies                            |                                     |     | 84,000      |     | 84,000        |
| f. Contractual                         |                                     |     | 51,200      |     | 51,200        |
| g. Construction                        | 200,877,275                         |     |             |     | 200,877,275   |
| h. Other                               |                                     |     | 88,100      |     | 88,100        |
| i. Total Direct Charges (sum of 6a-6h) | 200,877,275                         |     | 6,827,300   |     | \$207,704,575 |
| j. Indirect Charges                    |                                     |     | 1,993,000   |     | 1,993,000     |
| k. TOTALS (sum of 6i and 6j)           | \$200,877,275                       | \$  | \$8,820,300 | \$  | \$209,697,575 |
| 7. Program Income                      | \$                                  | \$  | \$          | \$  | \$            |

**CLEAN WATER STATE REVOLVING FUND PROGRAM  
FFY 2012 ADMINISTRATION BUDGET**

Grant Funds 4% Administration

FFY 2012 grant 6,629,379

| <u>FFY 2012 Projected Expenses<br/>Category</u> | <u>Total Eligible<br/>Administration</u> | <u>Total<br/>Fundable Eligible<br/>Administration Cost</u> |
|---|--|--|
| Personal Service                                | 5,023,000                                |  |
| Fringe Benefits (29.19%)                        | 1,466,000                                |  |
| Travel  | 42,000                                   |  |
| Equipment                                       | 73,000                                   |  |
| Supplies & Materials                            | 84,000                                   |  |
| Contractual Services                            | 51,200                                   |  |
| Other Budget                                    | 88,100                                   |  |
| Total Direct Expenses                           | 6,827,300                                |  |
| Indirect Costs (30.72%)                         | 1,993,000                                |  |
| EFC Expenses                                    | 8,820,300                                | 6,629,379  |
| Expected DEC Grant Draw Expenses                | 500,000                                  |  |
| Total Expenses                                  | 9,320,300                                |  |



**CWSRF FFY12 BREAKDOWN OF ADMIN. PS and NPS EXPENSES**

---

**Personal Service Costs:**

See attached list

5,023,000

**Fringe benefits (29.19%)**

1,466,000

Consists of health insurance, Social Security, pensions, Worker's Compensation, dental insurance, unemployment insurance, vision benefits, Medicare, Long Term Disability

**NPS expenses:**

**Travel**

42,000

The Corporation's responsibilities with the Program will have staff travel to IUP hearings, application workshops, client assistance meetings, and bond pricing and closings in New York City for CWSRF bond issues

**Equipment**

73,000

Computer hardware such as servers (\$2,500 - \$5,000), CPUs, monitors, back up systems, security appliance for computer, Storage Area Network (SAN) (\$7,350 - \$17,150), printer, copiers, etc.

57,500

Office peripherals such as fax machines, file cabinets, desks and chairs, etc.

15,500

**Supplies & Materials**

84,000

Office supplies, computer software, hardware & maintenance

**Breakdown of supplies & materials:**

Computer software and supplies: toner cartridges, color printer supplies; software purchase: content management/workflow (\$24,500 - \$50,000) security software, software updates, maintenance, etc.

68,700

General office supplies: pens, pencils, copier paper, folders, calendars, calculators, etc.

15,300

# CWSRF FFY12 BREAKDOWN OF ADMIN. PS and NPS EXPENSES

|  |        |                  |
|--|--------|------------------|
| <b>Contractual Services</b>  |        | <b>51,200</b>    |
| Consultants  |        |                  |
| <b>Other Budget</b>  |        | <b>88,100</b>    |
| Printing of the CWSRF IUP, training, insurance,<br>postage, telephone & miscellaneous, etc:                    |        |                  |
| Printing   | 8,000  |                  |
| Training (On going contract):  | 16,900 |                  |
| Training would consist of applicable<br>computer training, and SRF related<br>training, i.e. CIFA, NYWEA, etc. |        |                  |
| Insurance: CW share of auto, computer, liability<br>and property insurance                                     | 8,900  |                  |
| Postage  | 9,800  |                  |
| Telephone  | 25,200 |                  |
| Miscellaneous: Subscriptions, books, journals and any other<br>unforseen program costs.                        | 19,300 |                  |
| <b>Indirect costs (30.72%)</b>   |        | <b>1,993,000</b> |
| <b>Expected DEC Grant Draw Expenses</b>  |        | <b>500,000</b>   |
| Personal service, fringe and indirect costs  |        |                  |
| <b>Grand Total</b>   |        | <b>9,320,300</b> |

Note: All items anticipated to be purchased in FFY2012 with a cost over \$5,000 are listed within the Administrative Budget. Prior approval from EPA will be obtained before the purchase of each and every item that has a cost of \$5,000 or more.

## ASSURANCES – NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET.  
SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

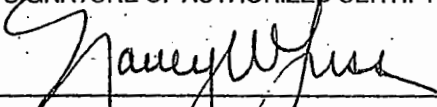
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of the project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 795), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provision of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a-7), the

Copeland Act (40 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

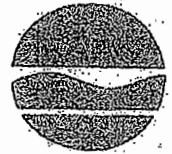
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplain in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential

components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.)
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

|  |   |
|--|---|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL<br> | TITLE<br><b>Director of Management and Budget</b> |
| APPLICANT ORGANIZATION<br><b>New York State Department of Environmental Conservation</b>   | DATE SUBMITTED<br><i>September 30, 2011</i>       |

New York State Department of Environmental Conservation  
Division of Management & Budget Services, 10<sup>th</sup> Floor  
625 Broadway, Albany, New York 12233-5010  
Phone: (518) 402-9228 • Fax: (518) 402-9023  
Website: [www.dec.ny.gov](http://www.dec.ny.gov)



Peter M. Iwanowicz  
Acting Commissioner

December 2, 2010

Mr. Roch C. Baamonde, Chief  
Grants and Contracts Management Branch  
U.S. Environmental Protection Agency  
Region II  
290 Broadway, 29<sup>th</sup> Floor  
New York, NY 10007-1866

Dear Mr. Baamonde,

Attached for your information and review is our required submittal of Civil Rights form 4700-4, "Preaward Compliance Review Report for All Applicants Requesting Federal Financial Assistance". This submittal is intended to cover each one of the Department grants, for all monetary actions occurring on or after October 1, 2010.

We have made every effort to obtain answers to each of the questions in the form. However, we are not able to provide you with answers to question number VII. These grants are generally used to support Department programs that serve all of New York State, rather than a single specific geographic location and/or population. Consequently, questions that deal with a specific community or population are impossible to answer because the Department lacks access to that type of information on a statewide basis.

If you need any additional information on this matter, please contact Michael Giovannoni by phone at (518) 402-9376 or e-mail at [mxgiovan@gw.dec.state.ny.us](mailto:mxgiovan@gw.dec.state.ny.us).

Sincerely,

Nancy W. Lussier  
Director, Management & Budget Services

Enclosure

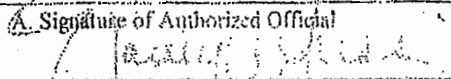
**United States Environmental Protection Agency  
Washington, DC 20460**

**Preadward Compliance Review Report for  
All Applicants and Recipients Requesting EPA Financial Assistance**  
*Note: Read instructions on other side before completing form.*

|   |                                |
|---|--------------------------------|
| <b>I. Applicant/Recipient (Name, Address, State, Zip Code).</b><br>New York State Department of Environmental Conservation, 625 Broadway, Albany New York 12233   | <b>EPA Project No.</b><br><br> |
| <b>II. Is the applicant currently receiving EPA assistance? (See * instructions on reverse side)</b><br>Yes   |                                |
| <b>III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)</b><br>Four (4) cases pending. No determination at this time.  |                                |
| <b>IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)</b><br>None   |                                |
| <b>V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3))</b><br>None  |                                |
| <b>VI.* Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</b><br>a. Do the methods of notice accommodate those with impaired vision or hearing? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No<br>b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No<br>c. Does the notice identify a designated civil rights coordinator? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |                                |
| <b>VII.* Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))</b><br>N/A  |                                |
| <b>VIII.* Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166)</b><br>YES   |                                |
| <b>IX.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.</b><br>Juan Abadia (Director Bureau of Affirmative Action & Minority/Women's Business Programs)<br>625 Broadway (10th floor) Albany, New York 12233-5064  |                                |
| <b>X* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.</b><br>CP-41/ Nondiscrimination in the Workplace (DEC Policy) <a href="http://internal.dec.state.ny.us/mbs/mbs68.html">http://internal.dec.state.ny.us/mbs/mbs68.html</a>   |                                |
| <b>XI. Will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? <input checked="" type="checkbox"/> Yes. If no, explain how a regulatory exception (40 C.F.R. § 7.70) applies. <input type="checkbox"/> No</b>  |                                |

**For the Applicant/Recipient**

I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.

|   |  |                            |
|---|--|----------------------------|
| <b>A. Signature of Authorized Official</b><br> | <b>B. Title of Authorized Official</b><br>Director, Management & Budget Services | <b>C. Date</b><br>10/17/10 |
|---|--|----------------------------|

**For the U.S. Environmental Protection Agency**

I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.

|  |  |                        |
|--|--|------------------------|
| <b>A. Signature of Authorized EPA Official</b><br><br> | <b>B. Title of Authorized EPA Official</b><br><br> | <b>C. Date</b><br><br> |
|--|--|------------------------|

### **Clearinghouse Letters**

Attached are the following:

- List of Clearinghouse contacts who were contacted regarding the 2012 CWSRF Capitalization Grant.
- Sample letter from Michael Giovannone of NYSDEC dated **August 16, 2011**.
- NYS Certification of Distribution of Application Review Package

Note that the comments/responses to the intergovernmental review process were directed to USEPA.



**ADDRESSES**  
**NY State Reviewing Agencies**

|   |  |
|---|--|
| <b>ALBANY, RENSSELAER, SCHENECTADY, SARATOGA</b><br><br><b>Mr. Rocco A. Ferraro</b><br><b>1 Park Place Suite 102</b><br><b>Albany, NY 12205</b><br><b>Tel. (518) 453-0850</b><br><b>Fax (518) 453-0856</b><br><b>Email: <a href="mailto:Rocky@cdrpc.org">Rocky@cdrpc.org</a></b><br><b>*Will accept electronic project proposals</b>                                    | <b>BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS</b><br><br><b>Mr. Robert Augenstern</b><br><b>Southern Tier East Planning Board</b><br><b>375 State St.</b><br><b>Binghamton, NY 13901-2385</b><br><b>Tel. (607)724-1327</b><br><b>Fax (607)724-1194</b><br><b>Email: <a href="mailto:raugen@steny.org">raugen@steny.org</a></b><br><b>*Will <u>not</u> accept electronic project proposals</b>  |
| <b>CHAUTAUQUA, CATTARAUGUS, ALLEGANY</b><br><br><b>Mr. Brian Schrantz</b><br><b>Southern Tier West RPB</b><br><b>4039 Route 219, Suite 200</b><br><b>Salamanca, NY 14779-9625</b><br><b>Tel. (716) 945-5301</b><br><b>Email: <a href="mailto:Bschrantz@southerntierwest.org">Bschrantz@southerntierwest.org</a></b><br><b>*Will accept electronic project proposals</b> | <b>CHEMUNG, SCHUYLER, STEUBEN</b><br><br><b>Ms. Marcia Weber</b><br><b>Southern Tier Central</b><br><b>Regional Planning Bd.</b><br><b>8 Denison Parkway East, Suite 310</b><br><b>Corning, NY 14830</b><br><b>Tel. (607)962-5092</b><br><b>Fax (607)962-3400</b>  |
| <b>COLUMBIA</b><br><br><b>Waive right to review all proposed projects</b>   | <b>DUTCHESS</b><br><br><b>Waive right to review all proposed projects</b>  |
| <b>ERIE, NIAGARA</b><br><br><b>Waive right to review all proposed projects</b>  | <b>FRANKLIN</b><br><br><b>Mr. Brad Jackson, Executive Director</b><br><b>Franklin County Industrial</b><br><b>Development Agency</b><br><b>10 Elm Street, Suite 2</b><br><b>Malone, NY 12953-1543</b><br><b>Tel. (518) 483-9472</b><br><b>Fax (518) 483-2900</b><br><b>Email: <a href="mailto:bjackson@franklinida.org">bjackson@franklinida.org</a></b><br><b>*Will accept electronic project proposals</b><br><b>*Only reviewing proposals that are specific to Franklin County.</b> |

|  |  |
|--|--|
| <b>FULTON</b><br><br><b>Waive right to review all proposed projects</b>  | <b>GENESSE, LIVINGSTON, MONROE,<br/>ONTARIO, ORLEANS, SENECA,<br/>WAYNE, YATES, WYOMING</b><br><br><b>Ms. Rudeen Armstrong</b><br><b>Genesee/FingerLakes</b><br><b>Regional Planning Cncl.</b><br><b>City Place, 50 West Main Street, Suite 8107</b><br><b>Rochester, NY 14614</b><br><b>Tel. (585) 454-0190</b><br><b>Fax (585) 454-0191</b><br><b>*Will <u>not</u> accept electronic project proposals</b> |
| <b>GREENE</b><br><br><b>Waive right to review all proposed projects</b>  | <b>JEFFERSON</b><br><br><b>Mr. Bruce Armstrong</b><br><b>Jefferson County Planning Dept.</b><br><b>175 Arsenal St.</b><br><b>Watertown, NY 13601</b><br><b>Tel. (315)785-3144</b><br><b>Fax (315)785-5092</b><br><b>Email: <u>donc@co.jefferson.ny.us</u></b><br><b><u>BruceA@co.jefferson.ny.us</u></b><br><b>*Will accept electronic project proposals</b>   |
| <b>LEWIS</b><br><br><b>Waive right to review all proposed projects</b>   | <b>MONTGOMERY</b><br><br><b>Waive right to review all proposed projects</b>  |
| <b>NASSAU</b><br><br><b>Waive right to review all proposed projects</b>  | <b>NEW YORK CITY and<br/>NEW YORK STATE DEPARTMENT OF<br/>ENVIRONMENTAL CONSERVATION</b><br><br><b>Waive right to review all proposed projects</b>   |
| <b>ORANGE</b><br><br><b>Mr. David Church</b><br><b>Orange County Planning Dept.</b><br><b>124 Main St.</b><br><b>Goshen, NY 10924</b><br><b>Tel. (845) 291-2318</b><br><b>Fax (845) 291-2533</b> | <b>OSWEGO, ONONDAGA, MADISON, CAYUGA</b><br><br><b>Ms. Carol Faucher or David Bottar</b><br><b>Central New York Regional</b><br><b>Planning Board</b><br><b>126 N. Salina Street</b><br><b>Syracuse, NY 13202-1050</b><br><b>Tel. (315)422-8276</b><br><b>Fax (315)422-9051</b><br><b>Email: <u>mail@cnyrpdb.org</u></b><br><b>*Will <u>not</u> accept electronic project proposals</b>                      |

|   |   |
|---|---|
| <b>PUTNAM</b><br><br><b>Waive right to review all proposed projects</b>   | <b>ROCKLAND</b><br><br><b>Ms. Arlene Miller</b><br><b>Rockland County Department of Planning</b><br><b>Robert Yeager Health Center, Building T</b><br><b>50 Sanatorium Road</b><br><b>Pomona, NY 10970</b><br><b>Tel. (845) 364-3434</b><br><b>Fax (914) 638-5686</b><br><b>Email: <u>Millera@co.rockland.ny.us</u></b><br><b>*Will accept electronic project proposals</b> |
| <b>ST. LAWRENCE</b><br><br><b>Waive right to review all proposed projects</b>   | <b>SUFFOLK</b><br><br><b>Waive right to review all proposed projects</b>  |
| <b>SULLIVAN</b><br><br><b>Waive right to review all proposed projects</b>   | <b>ULSTER</b><br><br><b>Mr. Dennis Doyle</b><br><b>Ulster County Planning Board</b><br><b>Box 1800</b><br><b>244 Fair St.</b><br><b>Kingston, NY 12401</b><br><b>Tel. (845) 340-3339</b><br><b>Fax (845) 340-3429</b><br><b>Email: <u>planning@co.ulster.ny.us</u></b>  |
| <b>WESTCHESTER</b><br><br><b>Mr. Jerry Mulligan</b><br><b>Commissioner of Planning</b><br><b>Westchester County Department of Planning</b><br><b>148 Martine Avenue, Room 432</b><br><b>White Plains, NY 10601-4704</b><br><b>Tel. (914) 995-4402</b><br><b>Email: <u>Jem1@westchester.gov.com</u></b><br><b>and</b><br><b>Mr. Edward Buroughs, Deputy Commissioner</b><br><b>same address as above</b><br><b>Tel. (914) 995-4405</b><br><b>Email: <u>EEB6@westchester.gov.com</u></b><br><b>*Will accept electronic project proposals</b><br><br><b>*Only reviewing proposals with a threshold of</b><br><b>\$200,000.</b> | <b>HERKIMER, ONEIDA</b><br><br><b>Waive right to review all proposed projects</b><br><br><br><br><br><br><br><br><br><br><b>CLINTON, ESSEX, HAMILTON, WARREN,</b><br><b>WASHINGTON</b><br><br><b>Waive right to review all proposed projects</b>  |

**New York State Department of Environmental Conservation**  
**Division of Management & Budget Services, 10<sup>th</sup> Floor**  
625 Broadway, Albany, New York 12233-5010  
**Phone:** (518) 402-9228 • **Fax:** (518) 402-9023  
**Website:** [www.dec.ny.gov](http://www.dec.ny.gov)



Joe Martens  
Commissioner

August 16, 2011

Mr. Brian Schrantz  
Southern Tier West RPB  
4039 Route 219, Suite 200  
Salamanca, NY 14779-9625

Dear Mr. Schrantz:

Enclosed for your review and comment is the Federal Standard Form 424 "Application for Federal Assistance" as our request for intergovernmental review of the Federal Fiscal Year 2012 Clean Water State Revolving Fund Capitalization Grant application to the USEPA. Award of the proposed Federal Grant will enable the Department of Environmental Conservation to continue to capitalize the New York Clean Water State Revolving Fund. We are notifying Area-Wide Clearinghouses of our intent to apply for Federal aid for this program.

Please provide your response to the following address by September 16, 2011 and a copy to Mr. Timothy P. Burns, P.E., of the NYS Environmental Facilities Corporation, in the enclosed envelope:

Roch Baamonde, Chief  
Grants & Contract Management Branch  
USEPA Region 2  
290 Broadway  
New York, New York 10007-1866

To assist in your response you could complete the enclosed form, sign and return. Should you have any questions, please feel free to phone the Program Director, Mr. William A. Brizzell, P.E., at (518) 402-7396.

Sincerely,

Michael Giovannone  
Associate Accountant

wb/nm

Enclosures: a/s

c: Mr. Timothy P. Burns, P.E. - NYSEFC

**New York State Clean Water State Revolving Fund  
Clearinghouse/Review Agency Response**

**August 2011**

This is in response to the intergovernmental review process regarding the 2012 Clean Water State Revolving Fund (CWSRF) Capitalization Grant application for the New York State to the USEPA.

- ☐ support the application
- ☐ support the application with attached comments
- ☐ comments attached

In addition please indicate if you wish to be contacted for future intergovernmental review of CWSRF Capitalization Grant application.

- ☐ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.
- ☐ YES, continue to include this clearinghouse in the intergovernmental review process.

\_\_\_\_\_  
(date)

\_\_\_\_\_  
Brian Schrantz  
Southern Tier West RPB

## REVIEWING AGENCIES

The Application Review Package has been sent to the Reviewing Agencies checked below:

- ☐ United States Environmental Protection Agency Region II, Grants and Contracts Management

### AREAWIDE REVIEWING AGENCIES:

|  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> ALBANY, RENNELAER, SCHENECTADY, SARATOGA                                 | <input checked="" type="checkbox"/> GENESSE, LIVINGTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING | <input checked="" type="checkbox"/> ULSTER                         |
| <input checked="" type="checkbox"/> BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS | <input checked="" type="checkbox"/> JEFFERSON   | <input checked="" type="checkbox"/> WESTCHESTER                    |
| <input checked="" type="checkbox"/> CHAUTAUQUA, CATTARAUGUS, ALLEGANY  | <input checked="" type="checkbox"/> ORANGE  | <input type="checkbox"/> ALL COUNTIES                              |
| <input checked="" type="checkbox"/> CHEMUNG, SCHUYLER, STEUBEN   | <input checked="" type="checkbox"/> OSWEGO, ONONDAGA, MADISON, CAYUGA   | <input type="checkbox"/> NO APPLICABLE COUNTIES REVIEWING AGENCIES |
| <input checked="" type="checkbox"/> ERIE, NIAGARA  | <input checked="" type="checkbox"/> PUTNAM  |  |
| <input checked="" type="checkbox"/> FRANKLIN   | <input checked="" type="checkbox"/> ROCKLAND  |  |

The undersigned certifies that an Application Review Package consisting of the items checked below has been sent to the required Reviewing Agencies for review.

- (1) FEDERAL FORM 424 (Box 16 must be completed)
- (2) PROJECT SUMMARY DESCRIBING PROPOSED ACTIVITIES
- (3) CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE
- (4) SITE LOCATION MAP (For construction projects only)
- (5) PROJECT INFORMATION FORM (For construction projects only)

This Application Review Package will not be processed unless this form is signed and dated below.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date signed

\_\_\_\_\_  
Title



**LOBBYING AND LITIGATION CERTIFICATION FOR GRANTS  
AND COOPERATIVE AGREEMENTS\***

**INSTRUCTIONS:**

\*At project completion, complete this form pursuant to the 2001 Department of Veterans Affairs and Housing and Urban Development, and Independent Appropriations Act, Public Law 106-377, Section 424 and 2000 Department of Veterans Affairs and Housing and Urban Development, and Independent Appropriations Act, Public Law 106-74, Section 426 and any other subsequent Appropriation Act requirements.

Please mail this form to your EPA Grant Specialist within 90 days of project completion. DO NOT send this information to the Office of Management & Budget.

Assistance Agreement Number(s):

66-458

I hereby certify that none of these funds have been used to engage in the lobbying of the Federal Government or in litigation against the United States unless authorized under existing law.

Nancy Lussier  
Signature of the Chief Executive Officer

September 30, 2011  
Date

Nancy Lussier  
Print Name

**Burden Statement** - The annual public reporting and record keeping burden for this collection of information is estimated to average 5 minutes per respondent. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for EPA's regulations are listed in 40 CFR Part 9 and 48 CFR Chapter 15.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Regulatory Information Division, U.S. Environmental Protection Agency, Ariel Rios Building, 1200 Pennsylvania Avenue, N.W., Mail Code 3213A, Washington, DC 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, N.W., Washington, DC 20503, Attention: Desk Officer for EPA. Include the EPA ICR number and OMB control number in any correspondence.



## METHOD OF PAYMENT



**Automated Standard Application for Payments (ASAP)**

January 2012 or upon grant award

\$173,170,065

# SOURCE OF STATE MATCH

## NEW YORK STATE CLEAN WATER CAPITAL BUDGET

| SFY                 | AMOUNT<br>APPROPRIATED | CUMULATIVE    |
|---------------------|------------------------|---------------|
| 89-90 through 02-03 | \$462,613,000          |               |
| 03-04               | \$30,174,000           | \$492,787,000 |
| 04-05               | \$28,893,000           | \$521,680,000 |
| 05-06               | \$29,602,000           | \$551,282,000 |
| 06-07               | \$29,600,000           | \$580,882,000 |
| 07-08               | \$29,600,000           | \$610,482,000 |
| 08-09               | \$29,600,000           | \$640,082,000 |
| 09-10               | \$29,600,000           | \$669,682,000 |
| 10-11               | \$29,600,000           | \$699,282,000 |
| 11-12               | <u>\$35,000,000</u>    | \$734,282,000 |
|                     | <b>\$734,282,000</b>   |               |

## REQUIRED STATE MATCH (@ 20%)

| FFY                 | FEDERAL GRANT          | STATE MATCH          |
|---------------------|------------------------|----------------------|
| 89-90 through 02-03 | \$2,309,586,281        | \$461,917,255        |
| 03-04               | \$146,280,420          | \$29,256,084         |
| 04-05               | \$118,939,293          | \$23,787,859         |
| 05-06               | \$96,656,373           | \$19,331,275         |
| 06-07               | \$118,135,611          | \$23,627,122         |
| 07-08               | \$75,108,221           | \$15,021,644         |
| 08-09               | \$75,109,023           | \$15,021,805         |
| 09-10               | \$224,898,000          | \$44,979,600         |
| 10-11               | \$162,993,000          | \$32,598,600         |
| "no year" CG funds  | \$64,244,506           | \$12,848,901         |
| 11-12               | <u>\$173,170,065</u>   | \$34,634,013         |
|                     | <b>\$3,565,120,793</b> | <b>\$713,024,158</b> |

SFY State fiscal year = April 1 to March 31

FFY Federal fiscal year = October 1 to September 30

## CHECKLIST OF APPLICATION ITEMS TO BE SUBMITTED

After you have completed your application, narrative descriptions, and other required forms, please review this application checklist to ensure that all required documents have been completed for submittal.

- ☐ **Key Contact Form**
- ☒ **Application for Federal Assistance (SF-424) with Original Signatures (Including SF-424A Budget Information and Assurances for Non-Construction Programs SF-424B)**
- ☒ **Itemized Budget (Detailed)**
- ☒ **Assurances: Non-Construction Programs (SF-424 B)**
- ☒ **EPA Form 4700-4 Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance (Civil Rights Form) - EEO Contact Mavis Johnson (212) 637-3339.**
- ☐ **N/A Narrative Statement / Workplan (Including statement on how this project supports your environmental program)**
- ☒ **Certification of Distribution of Application Review Package (Proof of compliance with Intergovernmental review)**
- ☐ **N/A Data on Past Grants Experience / Financial Administration (for applicants new to EPA REGION 2, e.g. Audit Reports, Narrative Description of Past Grants with the Federal Government, and the Federal Agency Contact for the Single Audit Requirement)**
- ☐ **N/A Biographical Sketch of the Project Manager (for applicants other than State, local government and Indian Tribes)**
- ☒ **Certification Regarding Lobbying / Disclosure of Lobbying Activities**
- ☐ **N/A Certification of Tax Status if you are a Non-Profit or Not-for-Profit Organization (for 501(c)(3) and (4) organizations, please attach copy of your most current IRS determination letter)**
- ☐ **Negotiated Indirect Cost Rate Agreement**
- ☒ **Include the Dun and Bradstreet (D&B) Data Universal Number System (DUNS) in the SF-424 Form**

**CHECKLIST OF APPLICATION ITEMS TO BE SUBMITTED**  
(Continued)

☐ N/A For other than continuing programs, please indicate below the appropriate status of your application package to assist us in facilitating the review process:

- ☐ Submitting application package in response to a competitive announcement  
List announcement number \_\_\_\_\_ or Title \_\_\_\_\_
- ☐ Submitting in response to discussion with EPA Staff  
Please identify name \_\_\_\_\_
- ☐ Submitting without input from or discussion with EPA, and not in response to a competitive announcement

☐ N/A **Congressional Earmarks:**

- ☐ Submitting application package in response to a Congressional Earmark  
(If known) Please identify name of Congressional Sponsor \_\_\_\_\_  
(If known) Please identify the appropriation Bill in which the earmark appears \_\_\_\_\_

**\*NOTE:** Please note that the information contained in this application may be made available to the public unless you identify specific portions that are confidential and may not be released. Please clearly identify specific confidential business information contained in this application.

**RETURN COMPLETED APPLICATION TO:**

**MR. ROCH BAAMONDE, CHIEF  
U.S. ENVIRONMENTAL PROTECTION AGENCY, REGION 2  
GRANTS AND CONTRACTS MANAGEMENT BRANCH  
290 BROADWAY, 27th FLOOR  
NEW YORK, NEW YORK 10007-1866**

**ADDITIONAL ITEMS SENT UNDER SEPARATE COVER**

FFY 2012 Intended Use Plan (IUP)

Attorney General's Certification

Operating Agreement

No changes are proposed for the current approved Operating Agreement effective through December 31, 2012

MBE/WBE Utilization under Federal Grants, etc.

Submitted under separate cover quarterly as required